



EUROPEAN FISHERIES CONTROL AGENCY

## **EFCA ANNUAL REPORT 2012**

Legal basis:

Articles 14 and 23(2)(b) of Council Regulation (EC) No 768/2005<sup>1</sup> as amended by Regulation (EC) No 1224/2009<sup>2</sup>, Art. 40 of the Financial Regulation of EFCA<sup>3</sup>.

This report includes the Annual Activity Report and the assessment reports of the BFT and NAFO-NEAFC JDPs<sup>4</sup>.

The Annual Report 2012 follows the Activity Based Management System under the Multiannual Work Programme 2012-2016 and Annual Work Programme 2012 adopted on 18 October 2011.

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<sup>1</sup> OJ of the European Union L 128 of 21.05.2005, p.1.

<sup>2</sup> OJ of the European Union L 343 of 22.12.2009, p.1.

<sup>3</sup> AB Decision No 09-W-01 of 9 January 2009.

<sup>4</sup> The assessment reports on the JDPs, North Sea, Western Waters and Baltic Sea will be issued in the first half of 2013.

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## Executive Summary

2012 marks a consolidation and strengthening of the core activities on which the success of the Agency has been constructed to date.

With reference to **operational coordination**, a new Joint Deployment Plan (JDP) for Pelagic stocks in Western Waters was implemented, the first campaigns related to salmon in the Baltic Sea JDP took place in December 2012, and the development of a work programme in the Black Sea are noteworthy.

5 JDPs were successfully implemented:

- Cod fisheries in the North Sea and Western Waters
- Cod and salmon fisheries in the Baltic Sea
- Pelagic Fisheries in Western Waters
- NAFO & NEAFC
- Bluefin Tuna in the Mediterranean Sea and Eastern Atlantic Ocean

During the last three years, the days of activity of JDPs have been reasonably constant. In 2012 the slight increase of days of activity was followed by a more significant increase of number of inspections at sea.

The total number of inspections coordinated in the framework of the JDPs during 2012 is around 9,000 in the JDPs coordinated by EFCA.

Overall, there has been a decrease in the ratio of suspected infringements detected per inspection made, with the exception for the cod and salmon in the BS JDP and pelagic in WW JDP; detailed information and figures are provided in the report.

It is notable that EFCA Administrative Board has initiated a debate on ways of evaluating compliance trends at regional level and assessing the cost-effectiveness of joint control operations. During the Administrative Board on 9/10 October 2012 two Focus Groups on compliance evaluation and assessment of cost-effectiveness in control operations were set up.

In the **capacity building** area the EFCA Vessel and Monitoring System (VMS) has been a central component in JDP activities. The Agency improved the performance of its system by providing new functionalities, such as scenario building, activity alarms, report management, vessel group

filtering, symbol colouring, or orientation. The development of a new EFCA Electronic Reporting System (ERS), to support the exchange of data during JDP operation, has also been a cornerstone in the area of Data Monitoring and Networks.

In IT new equipment and security measures were applied to enforce Business Continuity and functionality of operational systems. Moreover, a new Intranet was delivered including a new Document management system model.

In addition EFCA continued supporting the Commission and the Member States in the international arena regarding control and inspection, *inter alia* with Turkey, Croatia, Russia and Canada. The Agency organised an International Seminar to discuss with other Mediterranean Contracting Parties (CPCs) the implementation of the control measures in the BFT (bluefin tuna) fisheries in the Mediterranean, and the preparation of the Croatia accession.

In 2012, during the BFT Joint Deployment Campaign, and in close cooperation with the European Maritime Safety Agency (EMSA), a pilot project was set up with regards to Maritime Surveillance. It assessed the added value of enriching the existing global picture of the EFCA-VMS system with additional layers of information (AIS, Sat-AIS, LRIT, SAR-Images, nautical charts and inspection and surveillance information) with a view to create an integrated maritime picture.

The pilot project also tested the use of satellite imagery (SAR) provided by the Mariss service network in cooperation with the European Space Agency (ESA) and the possibilities to integrate such data in the MARSURV-3 application.

With regard to Training, in addition to the regional workshop training actions, the Agency coordinated and facilitated the elaboration of *Core Curricula* courses for training of national fisheries inspectors and promoted the exchange of best practices. Material was made available on internet with a secured web Core Curriculum Training Platform.

As for the fight against IUU the Agency participated in the preparation and conduction of 9 evaluation and dialogue missions to third countries.

Under, **governance and representation**- four main events can be highlighted, the visits of Commissioner Damanaki and a delegation of the EP Fisheries Committee to the Agency, the presentation by the Executive Director in the EP Committee on Fisheries of the main findings and recommendations on the Five year independent external evaluation and the organisation of a Seminar on the Five year independent external evaluation of the EFCA where the main

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stakeholders (*inter alia*: Member States, Parliament, European Commission, NGOs, RACs) were invited to participate.

In relation to the latter an open forum was organised with the aim to maintain an open debate and analyse the work that has been done since the setting up of EFCA and the way forward. The Seminar was very successful and the conclusions and feedback from the Seminar brought an exceptional input to the Board in the issuing of recommendations to the Commission.

The Evaluation report indicates that on the whole, governance arrangements have worked well. Considering the Agency's limited resources, its operation in the politically sensitive environment of fisheries policy, and current Member State budget constraints, performance against the evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability can be considered promising.

## Foreword

Jörgen Holmquist, Chair of the Administrative Board

2012 has marked the fifth anniversary of EFCA's activities. Since its foundation, the EFCA's role has been to encourage better coordination, closer collaboration and the exchange of best practice; joining forces from the different Member States and the Commission. In accordance with its founding regulation, the first five-year external independent evaluation of the EFCA (2007-2011) took place. The conclusions of this evaluation confirmed the strong relevance of the operational coordination the EFCA carried out as well as the efficiency and effectiveness achieved so far.

The scope of the Agency's work has been growing. From 2007, the number of fisheries in which the EFCA is active has increased. Since 2009, four JDPs have been implemented annually. From the last part of 2011 and during 2012 a new JDP for pelagic fisheries in Western Waters was initiated, to which the (Baltic) salmon stock was included at the end of December 2012.

In 2012, the EFCA has continued brokering cooperation between Member States and giving assistance to Member States and the Commission. While addressing its core activities, the EFCA has focused on new developments that shall enhance the culture of compliance and contribute to a level playing field across the fisheries sector in Europe; such as the regional JDPs based on multispecies which are discussed in this Annual Report.

2013 will see a new policy context with the adoption of a reformed Common Fisheries Policy. Within its mandate, the EFCA will be deeply involved in the effective implementation of the new rules, and in particular the key feature of the regional approach. This will be a year of great challenges in this respect.

Moreover, after its five years of activity, it is a good moment to assess EFCA added value in terms of compliance and to measure the general compliance trends. For this reason, the Administrative Board has decided to create two Focus Groups to evaluate compliance and assess the cost-effectiveness of control operations. Indeed, these Focus Groups will be supported through a long-term project that could establish the knowledge-based approach required to analyse the relationships between management measures in place, control effort and strategy, infringement detection rates, sanction levels and any other potential factor affecting compliance dynamics. This will surely help the EFCA to further develop its important and positive coordination role.

## Introductory statement

Pascal Savouret, Executive Director of EFCA

During 2012, the EFCA has increased its commitment of coordination between national control and inspection bodies and the Commission. In this respect, the improvement of the quality of the cooperation was instrumental. Particularly, the move towards the regional control areas, prioritised in the EFCA Multiannual work programme, has been fully taken on board as exemplified in the inclusion of the salmon stock into the new JDP “Cod and salmon fisheries in the Baltic Sea”, the support to joint control and inspection activities in the Black Sea, the establishment of a year-round cooperation model for the JDP Pelagic Fisheries in Western Waters and the cooperation model established within the Southern North Sea JDP further elaborating the regional coordination of risk management procedures. The coordination of the EFCA has ensured European Added Value by promoting uniformity and effectiveness in control, increasing transparency, ensuring a level playing field for the fishing industry and a cost-effective use of the resources.

The increase use of the EFCA operations room as a coordination centre for different JDPs and of the Union inspector mandate are other important elements that have helped EFCA coordination to become more efficient. Moreover, beyond the EFCA, the new Specific Control and Inspection Programme model designed by the Commission also provides a better basis for the development of regional JDPs.

There have also been advances in the pursuit of a level playing field. Training is a key aspect in this regard. Training also contributes to improvements in the quality of the coordination and of the inspections. During 2012, a total number of 295 inspectors from Member States participated in EFCA training actions. Beyond the regional workshop training actions, the Agency coordinated and facilitated the elaboration of *core curricula* courses for the training of trainers of national fisheries inspectors and Union inspectors. With respect to training workshops in support of regional cooperation, 13 training workshops were organized by the EFCA with Member State officials. These figures show the priority attached to training as a means of ensuring harmonised knowledge and a standard of excellence across the EU.

The assistance to the Member States and the Commission in the area of control, inspection and surveillance has been of special importance this year especially in the area of data monitoring and networks. Much progress has been made in the development of the EFCA information management systems with the enhancements of the EFCA Vessel Monitoring System (VMS), the development of the EFCA Electronic recording and Reporting System (ERS) and the definition of

the EU Electronic Inspection Report (EIR). These achievements will mean a step forward towards a common system and platform in the EU that may improve and assist the tasks of the Coordination Centre in Charge (CCIC) and of the Associated Centres (ACs) in the management of JDPs.

Within the framework provided by the Annual work programme and given the third strategic axis of EFCA activities regarding cooperation with third countries, cooperation has taken place with countries in the Mediterranean and in the North Atlantic. The cooperation actions included the hosting in Vigo of a seminar with ICCAT Contracting Parties, the elaboration of a roadmap of cooperation with Croatia towards its accession to the EU, the support to the Commission in the framework of EU-Turkey fisheries dialogue with Mediterranean countries, the participation in meetings on fisheries control with Russia and cooperation in operational activities with Canada and with North Atlantic (Nordic) countries.

Overall, the figures show us that there has been a decrease in the ratio of apparent infringements detected per inspection carried out (with the exception of the cod and salmon in the Baltic Sea JDP and pelagic in Western Waters JDP). The Administrative Board decision of creating two focus groups for assessing compliance levels will help EFCA better assess these figures as well as the general trends in compliance with the Common Fisheries Policy in the EU.

The close cooperation between the Member States and the European Commission thanks to the coordinating role of the EFCA has been very fruitful with regard to the promotion of a culture of compliance that can ensure a level playing field and a more effective and uniform application of the Common Fisheries Policy. I am confident that together we will keep up the good work and be better prepared for the upcoming challenges.

## 1. Introduction

The Annual Report 2012 follows the Activity Based Management System under the Multiannual Work Programme 2012-2016 and Annual Work Programme adopted on 18 October 2011 and intends to inform on the main operational and governance activities carried out during 2012, as well as on the main financial and administrative indicators.

With reference to the structure of the report, the second and third chapters contain an overview of the ECFA mandate, resources and activities. The activities of operational coordination and capacity building, are described in chapter four and the functional activity, governance and representation, in chapter five.

In chapter six you will find a summary on the Five year independent external evaluation of the Agency and the Seminar organised to that aim.

More information, *inter alia*, the assessment reports, the horizontal support activities, the budget execution, the budget outturn and the balance sheet, can be found in the annexes.

## 2. Mission statement

*"The Agency's mission is to promote the highest common standards for control, inspection and surveillance under the Common Fisheries Policy".*

EFCA will function at the highest level of excellence and transparency with a view to developing the necessary confidence and cooperation of all parties involved and, in so doing, to ensure effectiveness and efficiency of its operations.

Its overarching objective is to organise operational coordination of fisheries control and inspection activities by the Member States and to assist them to cooperate so as to comply with the rules of the Common Fisheries Policy, in order to ensure its effective and uniform application.

Against this background, EFCA develops its activities along two main strategic axes:

- a) organisation of the operational coordination of pooled national means in those fisheries identified by the Commission and accepted by the Administrative Board;

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b) building of the necessary capacity to apply the rules of the CFP by Member States in a uniform way.

EFCA promotes a culture of compliance among stakeholders and contributes to a level playing field at European Union level. In this way the Agency is contributing to long term, biologically and ecologically sustainable exploitation of marine living resources for the common good.

### 3. Resources and activities

In accordance with the Activity Based Management System (ABMS) approach approved by the Administrative Board on 19 October 2010, the Annual Report 2012 is the third report implementing ABMS in its reporting, adding the total estimated direct and indirect costs for each activity.

EFCA accomplishes its mission through its two operational activities and one functional activity integral to its operation as an independent EU body:

- Operational activities

- Operational Coordination<sup>5</sup>

Organisation of the operational coordination of control activities by Member States for the implementation of specific control and inspection programmes, and international control and inspection schemes adopted by Regional Fisheries Management Organisations (RFMOs), and related activities.

- Capacity Building<sup>6</sup>

Assistance to the Member States and the Commission in the area of control, inspection and surveillance, with specific regard to activities enhancing the potential of national enforcement services to apply the rules of the CFP in a uniform and effective manner. These activities include reporting and exchange of data on fishing, control and inspection activities, arranging the accessibility of those data to Coordination Centre in Charge (CCIC) and Associated Coordination Centres (ACs), developing and coordinating training programmes, fighting against IUU and the possible acquisition of equipment necessary for the implementation of JDPs or on the request of Member States.

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<sup>5</sup> Activity code: 1 (ABMS).

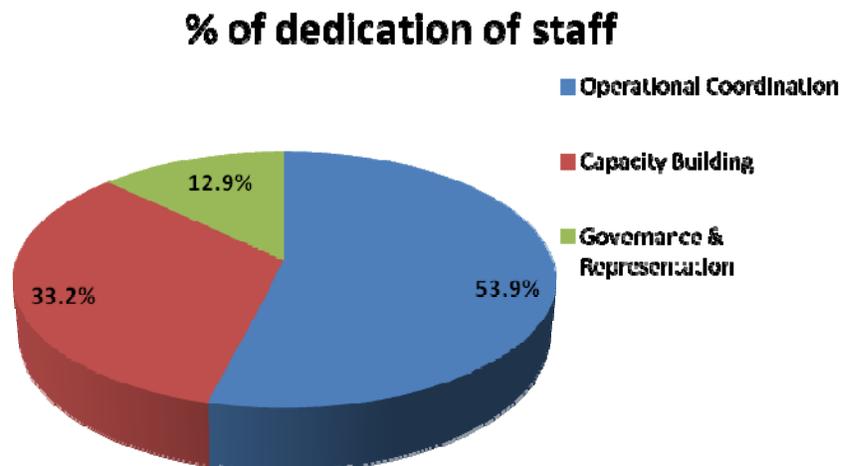
<sup>6</sup> Activity code: 2 (ABMS).

- Functional activity

#### Governance and Representation<sup>7</sup>

For the purpose of the functioning of EFCA as an independent EU body, all activities deployed in support of the Administrative Board, the Advisory Board, inter-agency cooperation (including in the maritime policy domain), representation and communication are considered as EU governance activities. The resources allocated to EFCA's functional activity are linked to the general objectives and are carried out in close connection with its operational activities.

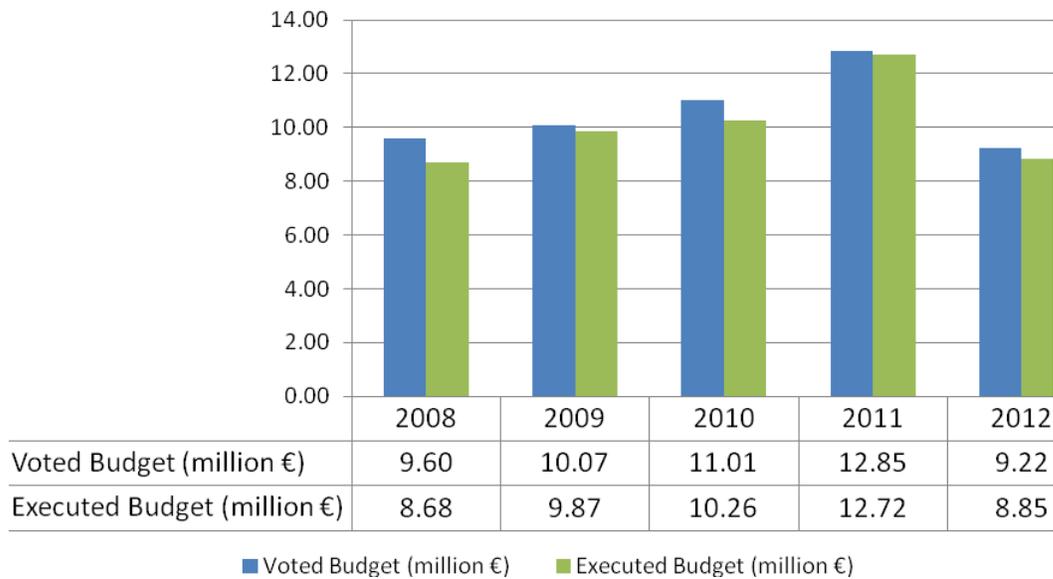
On 31 December 2012 the Agency had 55 staff members (TAs and CAs) representing 17 nationalities. In accordance with the ABMS the pie chart below shows the distribution of the staff allocation by activity:



The graphs below show the adopted vs. implemented budget evolution from 2008-2012.

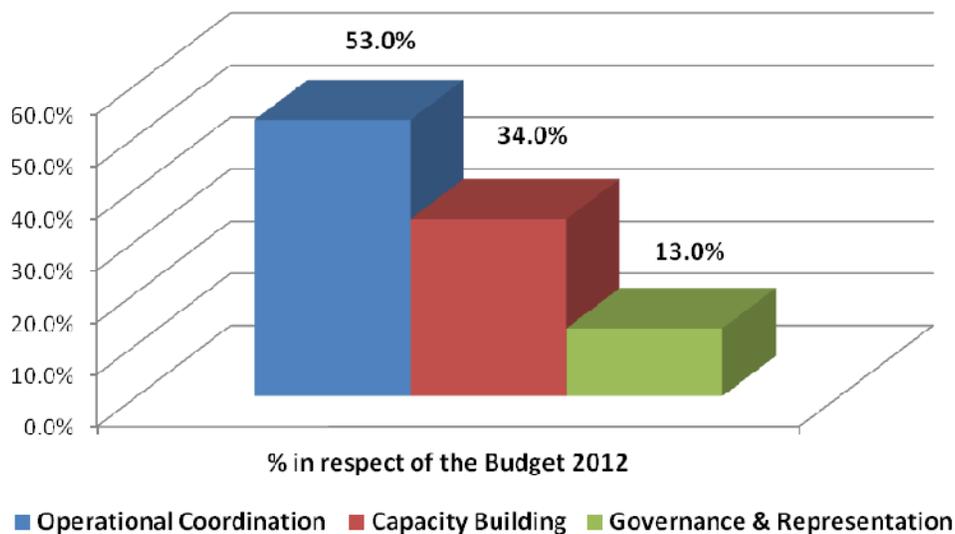
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<sup>7</sup> Activity code: 3 (ABMS).



With reference to the 2012 budget implementation, the chart below shows the distribution by activity.

### % in respect of the Budget implementation 2012



## 4. Operational activities

## 4.1. Objectives and main achievements

**EFCA operational activities** have been focused on the priorities of the Annual work programme (AWP) for 2012, namely the implementation of the Joint Deployment Plans (JDPs) and the cooperation for the uniform and effective application of the CFP rules by Member States through data monitoring and networks, training and Maritime surveillance and Pooled Capacities.

The main achievements can be outlined in accordance with the main priority areas identified in the EFCA AWP 2012:

### a) JDPs 2012

Five JDPs were successfully implemented during 2012 (see Annex I – 4 “JDPs outputs and associated performance indicators”):

- Cod fisheries in the North Sea and Western Waters
- Cod and salmon fisheries in the Baltic Sea
- Pelagic Fisheries in Western Waters
- NAFO & NEAFC
- Bluefin Tuna in the Mediterranean Sea and Eastern Atlantic Ocean

The JDPs are the key instrument for EFCA to implement the Specific Control and Inspection programmes adopted by the Commission following article 95 of the EU Control Regulation, and the International Control Schemes adopted by Regional Fisheries Management Organisations to which the EU is a Contracting Party.

Through JDPs, EFCA ensures the best use of human and material resources pooled of Member States in a coordinated way to improve compliance in the fisheries concerned and to guarantee the level playing field. Good coordination with the Commission and the Member States concerned, in the context of the different JDPs Steering Groups (SG) and Technical Joint Deployment Groups (TJDG), was instrumental in this respect. All phases of operational coordination, from the setting of operational objectives, planning implementation and assessment of control activities, were carried out in tight cooperation with the SG and TJDG.

### b) Towards “Regional Control Areas”

Further steps were made towards the progressively implementation of the “Regional Control Areas” as prioritised by the EFCA Multiannual Work Programme (MWP) as follows:

- Enhanced coverage of species, by including salmon to a **new JDP “Cod and salmon fisheries in the Baltic Sea”**
- Support to the joint control and inspection activities in the **Black Sea**

- Establishment of a year-round cooperation model for **JDP Pelagic Fisheries in Western Waters**, in which the coordination and control effort is more adaptable to the fisheries situations as they occur, whilst promoting a more rational and complementary use of Member States means available in the region
- Based on the year-round campaign and cooperation model established within the **Southern North Sea JDP**, development of pilot projects with Member States concerned, by further elaborating the regional coordination of **risk management procedures** in place and identifying **Member States legal procedural requirements to facilitate Union Inspectors deployment** in different coastal Member state waters.

Whilst not direct result of EFCA activity, it should also be noticed that during 2012 the Commission has developed in concert with Member States a **new Specific Control and Inspection Programme Model**, which will provide a better basis for the development of regional JDPs.

In conjunction with the Scheveningen Group meeting organised on behalf of Belgium by the Agency at its premises in Vigo, EFCA organised a regional workshop with the members of the Steering Groups for the European waters JDPs (BS, NS and pelagic WW). This meeting aimed at discussing key principles and structure of a new regional JDP that should apply in order to respond to the challenges posed by the new SCIP model.

### **c) The JDP cycle: Promoting European Added Value through coordination**

In 2012, further improvements in the 3 phases of the JDP cycle (planning, implementation and assessment) continued to be explored:

- **Planning:** JDP planning is undertaken according to a risk management based approach and establishment of clear specific objectives.

A joint Regional Risk Analysis system is applied in all JDPs to facilitate planning of JDP activities through the identification of areas, periods and specific objectives to be covered. During 2012, this approach was introduced to the Pelagic Fisheries in Western Waters JDP.

Further developments were introduced for mid-term planning, so as to readjust periods, places and targeted risks, with the introduction of a more adaptive strategy. This was particularly the case for the “long-term” campaigns under the southern North Sea and Pelagic Fisheries in Western Waters JDPs, where tight coordination between the Members of the TJDG is ensured. This experience proved to be positive in the adjustment of control effort to the “actual” fisheries situation observed, facilitating more cost-effective deployment

of control means. Such improvements will be explored in the context of other JDPs in the future.

- **Implementation:** Member States are the cornerstone for a successful implementation of the Common Fisheries Policy, and JDP coordination can optimise their efforts in this respect. Overall, they have contributed satisfactorily to the success of the JDPs, permitting the joint campaigns to be carried out with adequate means.

The projects developed in cooperation with the Member States of the **southern part North Sea JDP**<sup>8</sup> related to **risk management** and **legal procedures** were important contributions to set a better basis for JDP implementation.

The **long-term campaigns framework** proved to help Member States to combine their national control activities with their obligation to carry out joint control operations without resulting in significant additional workload, whilst promoting European Added Value.

- **Assessment:** The Agency aims at the highest standards of performance and operates on the basis of transparency and accountability. The assessment of activities is also an essential step in the JDP cycle, allowing for a feed-back for constant improvements of the JDP cooperation model, identification of major fisheries threats and improved definition of specific objectives for the following year JDPs.

In line with the developments towards Regional Control Areas, the Agency promotes the assessment of the effectiveness of JDPs on the basis of performance criteria and benchmarks, by a common evaluation, including common reporting of joint control activities at regional level.

During 2012, all different phases of reporting and assessment (Joint campaign level, 3 month progress report in long campaigns, annual assessment of effectiveness of JDPs and associated performance indicators) were successfully implemented. Assessment of the different JDPs has always been done in close consultation with Member States and EC and adopted by consensus.

Finally, it is important to outline that the EFCA Administrative Board has initiated a critical discussion on ways **of evaluating compliance trends at regional level** and **assessing the cost-effectiveness of joint control operations**, which can provide a new more “result oriented” framework of evaluation and assessment of joint control activities.

<sup>8</sup> Belgium, France, Germany, Netherlands and the UK.

#### **d) Promoting a level playing field and exchange of best practices**

In 2012, EFCA continued to promote “**exchanges**” between the different Member States Union inspectors in the context of JDP operations, both at sea and land. Such exchanges are of primary importance to exchange experiences and best practices, and can ultimately contribute to more harmonised control and inspection procedures.

It should be noted that the level of “exchanges” has slightly decreased in areas where there is a long-standing record of cooperation between Member States (e.g. the southern part of North Sea). However, in these areas there has been an increasing use of the EU inspector mandate in situations where a coastal/flag state inspector was not available, which contributed to an optimal use of control means deployed in the operational area.

**Regional workshops** have proven to be an excellent forum to promote the exchange of experiences and best practices between Member States inspectors. Such workshops remained a high EFCA priority in 2012 for all JDPs, and were targeting Inspectors from the different Member States, staff of Member States and EFCA FMCs in charge/supporting JDP coordination, and in the particular case of NAFO and BFT, Union inspectors before their deployment under JDPs. A total number of 295 inspectors from Member states participated to EFCA training actions.

#### **e) International actions**

EFCA continued supporting the Commission and the Member States in the international arena regarding control and inspection.

EFCA, in cooperation with the Commission, organised an International Seminar to discuss with other Mediterranean Contracting Parties (CPCs) the implementation of the control measures in the bluefin tuna fisheries in the Mediterranean (See Annex II).

EFCA has supported the EU Delegation in the meetings organised by NAFO, NEAFC and ICCAT, as the body in charge of organising the co-ordination of the fulfilment of EU international obligations arising from the International Schemes of Enforcement and Control of these organisations.

To prepare for Croatian accession, a draft road map was agreed with Croatia for different actions facilitating its incorporation into the different EFCA activities in October 2012. First actions have already been implemented to incorporate Croatia fully to EFCA activities from 1<sup>st</sup> July 2013.

Besides, EFCA, on request of the Commission, has supported the bilateral discussions with Turkey regarding the Fisheries Dialogue Committee for fisheries in the Mediterranean and with Russia in the frame of the working group on control, monitoring and enforcement with this country.

#### f) Data monitoring and networks

In the area of **data monitoring and networks**, the main achievements consisted of the following:

- Development of a new EFCA Electronic Reporting System (**EFCA-ERS**) to support the exchange of data during JDP operations. The development of this application was completed by the end of the year and ready for the first tests for exchanging real-time data from Member States in a new production environment.
- A significant upgrade of the existing EFCA Vessel Monitoring System (**EFCA-VMS**) with additional functionality being added to the existing software, such as scenario building, advanced activity alarms, report management, vessel group filtering, symbol coloring, or enhanced reporting features.
- Significant progress on the EFCA Electronic Inspection Report (**EFCA-EIR**) with the Member States Working Group completing the Data Element Definition as well as the development of a common exchange format (i.e. XSD) for the requirements of Annex XXVII and XXIII of Commission Implementing Regulation (EU) No 404/2011 of 4 April 2011<sup>9</sup>.
- Regarding **FishNet**, the first high fidelity prototype was delivered displaying how FishNet could provide EFCA with a digital communication, collaboration and coordination platform. As a critical component of FishNet, a contract focused on security to support a secured development of the single sign-on portal was prepared and started. The first phase of FishNet development (Phase 1) was initiated. Based on the existing feasibility study, a major step was achieved with the selection of the target software platform solution.

#### g) Training

With regard to **Training**, beyond the regional workshop training actions, the Agency coordinated and facilitated the elaboration of *Core Curricula* courses for training of national fisheries inspectors and promoted the exchange of best practice. The existing web *Core Curriculum* Training Platform 1.0 was used so to make the material available on internet in a secured way. Based on the existing system, and following the adopted working method and new development processes a new Core Curriculum Development Platform (CCDP) was developed.

EFCA successfully implemented an action plan to address the nine recommendations issued by the Internal Audit Service (IAS) of the Commission on the adequacy and effectiveness of the internal control system as regards Training and development. Documented procedures were

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<sup>9</sup> OJ L 112, 30.4.2011, p. 1.

established in order to address all these recommendations. By the end of July 2012 the IAS attested that all nine recommendations were satisfactorily implemented and closed.

#### **h) Cooperation in maritime affairs and fight against IUU**

EFCA actively contributed to DG MARE projects towards the implementation of the EU Integrated Maritime Policy and the Common Fisheries Policy promoting **cooperation in maritime affairs** with Member States, the European Commission, relevant EU Agencies and external bodies.

As a member of the Technical Advisory Group (TAG), EFCA acted as an active contributor to the development of the Common Information Sharing Environment (CISE). The CISE roadmap, leading to the creation of a decentralised information exchange system, interlinks all User Communities, both civilian and military, in the maritime domain. EFCA also participated actively as observer in the pilot projects monitored by DG MARE under the remit of the CISE roadmap.

In 2012, during the BFT Joint Deployment Campaign, and in close cooperation with the European Maritime Safety Agency (EMSA), a pilot project was set up with regards to **Maritime Surveillance**. The main objective was to assess the added value of enriching the existing global picture of the EFCA-VMS system with additional layers of information (AIS, Sat-AIS, LRIT, SAR-Images, nautical charts and inspection and surveillance information) with a view to create an integrated maritime picture.

A user-defined technical solution was developed, implemented and tested successfully on the work floor. The application, MARSURV-3, also allowed data fusion and correlation of the traditional VMS data with other maritime data sources. This improved maritime awareness permitted to explore the added value of behaviour monitoring of fishing vessels. The pilot project also tested the use of satellite imagery (SAR) provided by the Mariss service network in cooperation with the European Space Agency (ESA) and the possibilities to integrate such data in the MARSURV-3 application.

The successful results of the pilot project were presented to the EFCA Administrative Board, confirming its potential for future development.

In the framework of **inter-agency cooperation in the maritime domain**, EFCA participated in the European Patrol Network (EPN) on the exchange of information regarding vessel activity detected by patrol means and the provision of mutual assistance on request. In the framework of BFT JDP activities, EFCA provided a specific training for Frontex air surveillance crews in contact with BFT fisheries.

As for the **fight against IUU** the objective was to support the Member States and the Commission in the implementation of Council Regulation (EC) No 1005/2008 (the IUU Regulation). The support by EFCA has been organised in the following key areas:

- Fulfilment of the tasks transferred to the EFCA under Commission Decision 2009/988/EU of 18 December 2009<sup>10</sup>, i.e. evaluation and dialogue missions to third countries;
- Delivery of training workshops to national authorities.

Main achievements were the preparation and conduct of 9 evaluation and dialogue missions to third countries, conduct of 4 training workshops for Member States' officials, and the active participation in two national IUU seminars.

### **i) IT**

Last but not least, 2012 was a challenging year for **IT**, following the internal organisational change with a new line to support corporate and operational activities. Main objectives and achievements in the IT area covered:

- At IT Governance level, an EFCA IT Steering Committee was set up organised along regular meetings where the adoption of a project scoreboard to give IT guidance and priority to the corporate and operational projects (quarterly reviews).
- The definition of an IT Governance Framework, with the first definition of the draft IT Security Policies, the draft IT Project Management Standards and a draft new version of IT Business Continuity Plan;
- The parallel and successful technical management and support to both EFCA operational and corporate projects involving the development of new IT systems (e.g., ERS, CCDP, new Intranet);
- The EFCA IT infrastructure upgrade, technical cornerstone for the development of the new operational and corporate systems;
- The continuity, the security and the reliability of EFCA IT services according to a predefined SLA.
- A new Intranet was delivered including a new Document management System model implemented in the CCDP and the new Intranet platform.

## **4.2. Data and analysis**

### **JDPs data and its analysis**

Timely and permanent exchange of data and intelligence, together with accurate reporting of control and inspection activity, are essential to support effective regional JDPs. Such approach can benefit all levels of the JDP cycle, facilitating common planning, coordinated implementation of campaigns and joint evaluation and assessment.

<sup>10</sup> OJ L 338, 19.12.2009, p.104.

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## A Risk Management based approach in JDPs planning and implementation

Risk analysis and risk management has become an indispensable tool for a successful implementation of JDPs. European Union legislation<sup>11</sup> requires Member States to ensure that control, inspection and enforcement is carried out on the basis of risk management.

In striving to achieve the highest standards of campaign management, EFCA has, since 2010, increasingly deployed risk management practices in the planning and implementation of Joint Deployment campaigns. In particular, EFCA Regional Risk Analysis system has, over a two year period, successfully facilitated the planning by providing the medium to long-term strategic objectives for Joint Deployment campaigns.

This system, based upon quantitative risk analysis, is supported by a tool which makes a numerical determination of the probabilities of various adverse events and the likely extent of the losses thereby sustained or, in the case of fisheries, the negative effect on the fish stock if a particular threat arises.

In 2012, the **biannual planning exercises** of the campaigns of the 3 Union waters JDPs, **Cod and salmon in Baltic Sea, Cod in North Sea and Pelagic fisheries in Western Waters** were performed in February and August respectively for the campaigns of the 2<sup>nd</sup> semester of 2012 and 1<sup>st</sup> semester of 2013. Historical VMS data was used to produce maps representing the fishing effort distribution. Aggregated monthly catches per statistical rectangle were also used to produce maps representing its temporal and spatial distribution. Finally, landings data were analyzed to identify main landing ports.

Considering the inclusion **of salmon** as a target species within the **Baltic Sea JDP**, EFCA convened a meeting with ICES experts in preparation of the Baltic Sea Steering Group. In this meeting, the most accurate information on salmon fisheries was presented by ICES, including a description of the spatial and temporal distribution of this species in the area, and discussion on potential threats and risks of non-compliance. Further to this meeting, the Regional Risk analysis of salmon catches and landings in the Baltic Sea was performed for the first time for the planning of the 1<sup>st</sup> semester of 2013 Baltic Sea JDP.

In close cooperation with the Member States of the **southern North Sea area**<sup>12</sup>, EFCA developed a dedicated **risk management project** in which the Member States continued to develop common rules and to explore the best use of information and intelligence available context of joint operations. Based on Member States results of their tactical risk analysis, the project developed

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<sup>11</sup> Council Regulation (EC) No 1224/2009, Art. 5(4).

<sup>12</sup> Belgium, France, Germany, Netherlands and the UK.

methods for further integration at a regional level considering values such as regional inspection history. In this way, a target hierarchy is made available for the TJDG.

On the basis of this project, EFCA started a discussion with the **different JDPs Steering Groups** on the development of a **coordinated regional risk management strategy**, including specifications for long, medium and short term needs and outputs. A dedicated project was recently launched in the context of the NAFO and NEAFC JDP.

The recently developed *non-paper* for a new SCIP<sup>13</sup> model already foresees that “the risk management strategy...should be coordinated at regional level through a joint deployment plan” by EFCA. The EFCA Executive Director recent decision for the **Pelagic Fisheries in Western Waters JDP**<sup>14</sup> already includes a framework for cooperation with Member States in the coordination of the regional risk management strategy. Such regional risk management strategy will be further developed and implemented in tight cooperation with the pelagic in WW JDP Steering Group.

In the framework of the JDPs for areas managed by International organisations, the risk analysis is prepared together with the Member States to plan the activities yearly, based on the historical fishing activity in the area (catches, period, etc.).

### **Improved recording of joint control and inspection activity data**

In 2011, EFCA contracted the development of a web-browser based application (JAdE V.1) for the management and analysis of the control activity data recorded in the framework of the Joint Deployment Plans coordinated by the Agency. The application has been in use since March 2012, and all the JDPs have started to record control activity data in that system. By the end of 2012, EFCA had launched a contract in order to upgrade this application. The new version, which will be delivered by May 2013, will offer enhanced possibility to produce reports necessary for the monitoring and assessment of the control activities coordinated by the Agency. The data entry module will be revised. Finally, some new requirements related to strategic and operational risk analysis will be implemented.

The planning and coordination of JDP's depends very much on the analysis of data related to the control of fishing vessels and their activities, in particular the data contained in the fishing logbook as well as landing and transshipment declarations. The continuing implementation of ERS across the EU has resulted in a major increase in the number of vessels operating with electronic logbooks. In order to support JDP operations, EFCA developed the ERS system to receive process

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<sup>13</sup> Ref. Ares(2012)789272 - 29/06/2012.

<sup>14</sup> Decision No 2013/01 of the EFCA Executive Director for pelagic fisheries in WW JDP.

and exchange electronic data relating to control activities. The EFCA-ERS is expected to play a central role in the support of the CCIC and ACs for the planning and conduct of JDP operations.

### 4.3. JDPs planning and implementation

#### a) Cooperation with the Commission and Member States: A key factor for effective JDP Planning and cooperation

In organising operational cooperation between Member States through the adoption of JDPs, and for the purpose of operational coordination of joint control, inspection and surveillance activities by Member States, the Agency has established two joint working groups for the elaboration and implementation of each JDP:

- the Steering Groups (SG, more concerned with overall planning and strategic decisions) and
- the Technical Joint Deployment Group (TJDG, more concerned with the tactical planning and implementation of joint operations).

During 2012, these working groups steered the successful and timely implementation of all EFCA JDPs, based on solid cooperation principles such as consensus and transparency. Both the SG and TJDG were also quite important in providing feedback for the training activities and implementing some regional projects in support of JDP coordination (e.g. legal procedures project southern North Sea).

#### b) Operational coordination of JDPs

It is difficult to envisage « a one fits all » solution for JDP management, and different models for operational coordination have been explored in the past. Regional specificities, the fisheries covered, the legal background and the historical degree of cooperation between the Member States active in the area, are important factors to consider.

In 2012, different coordination models were in place, ranging from JDPs with a series of short-term campaigns and mostly operating at a single species level (e.g. northern North Sea and Baltic Sea), to year—round, multispecies JDPs (e.g. pelagic in Western Waters, NAFO and NEAFC).

The **long-term joint campaign** in the **southern part of the North Sea** and **Pelagic fisheries in Western Waters** confirmed that the flexible planning of joint control operations was a key driver in ensuring the best deployment of the available control means. In addition, the EU inspector mandate was increasingly used in these areas and proved to be the best way to

ensure that control means deployment is optimal. The transparency of decision process through meetings of the Technical Joint Deployment Group, combined with the Member States agreement to share all available and relevant data strengthened the cooperation at the regional level.

Under the **pelagics in WW JDP**, a more effective model of implementation of its long-term campaigns was further explored during 2012. The split of the campaigns in two (one in the Northern area and one in the Southern area), and the introduction of “**core periods**” (with higher fishing activity and coordination demands), and of “**non-core periods**” (less fishing activity with a general follow-up coordinated by EFCA), allowed for a more effective and responsive coordination.

For the implementation of the different JDPs, the TJDG has been supported by a CCIC and ACCs, which were based either at Member State or EFCA.

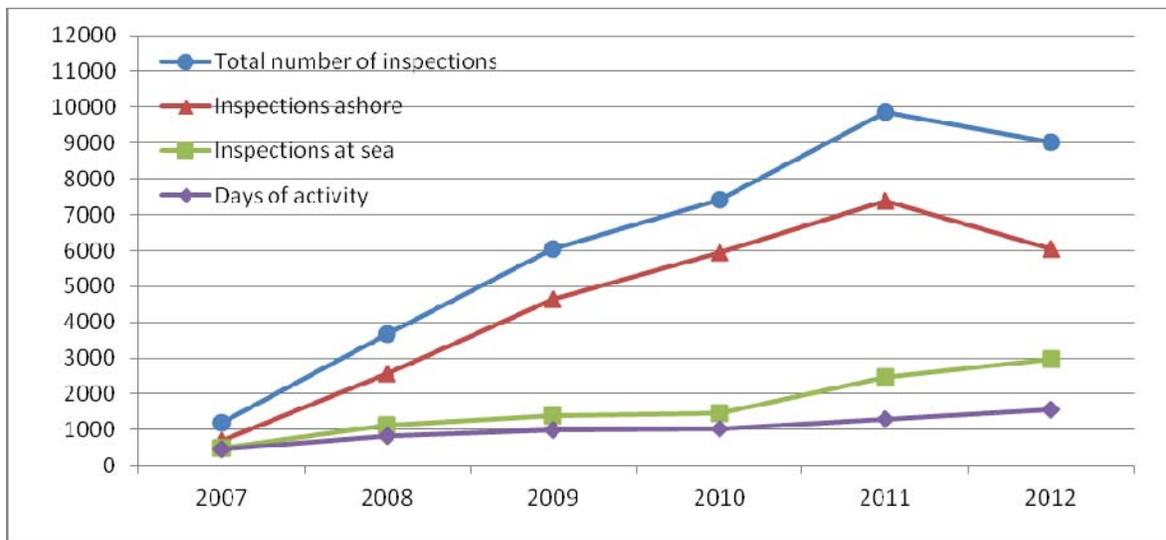
The **EFCA operational room** has been increasingly used as a **coordination centre** in the context of different JDPs. This function has been partially supported with experts coming from BE (JDP cod in the NS), PT (JDP Pelagics in WW), SP (JDP pelagic in WW and BFT), UK (JDP Pelagic WW), Ireland (JDP pelagics Western waters), MT and IT in the context of the BFT JDP. It should be outlined that NL seconded also an expert to the EFCA coordination centre located in Vigo for the period of six months with the objective to coordinate simultaneously 2 long-term joint campaigns under 2 different JDPs (cod in the NS and pelagic in WW).

In the context of NAFO-NEAFC JDP, operational coordination has been guaranteed with third countries during the sea campaigns. A Canadian inspector participated in a campaign organised by EFCA through the chartered vessel Tyr.

The Agency has continued its involvement in the coordination and implementation of the pilot activities concerning the utilization of **stereo-video systems**, together with Member States. Further to the recommendation made by the **ICCAT** Standing Committee on Research and Statistics, based on the results of the pilot projects implemented by several CPCs (including the EU), the new recovery plan for bluefin tuna adopted during the 2012 ICCAT Annual Meeting included a provision on the use of the stereoscopic cameras. For the first time, 100% of the caging operations shall be covered by stereoscopic cameras or alternative techniques that provide the equivalent precision. The results of the stereoscopic video recordings will be used to refine the number and weight of the fish in each caging operation.

### c) Key figures of JDPs control and inspection activity

**Figure 1: JDPs cumulative data, 2007-2012**



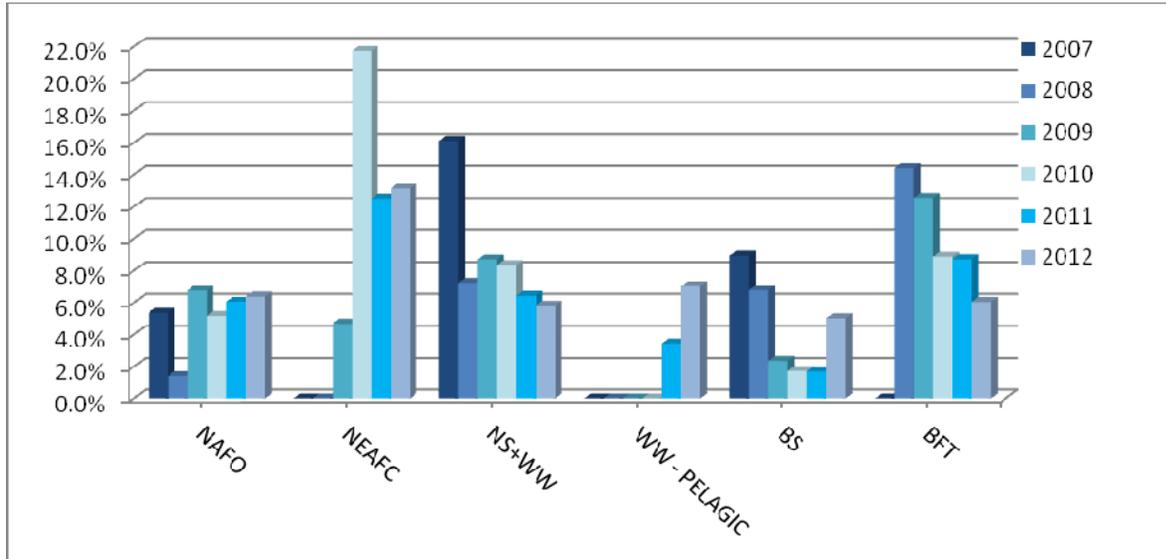
**Source: EFCA**

From 2007 onwards, the number of fisheries in which EFCA is active has increased. Since 2009, 4 JDPs have been implemented annually. From the last part of 2011, and during 2012 a new JDP for pelagic fisheries in Western Waters was initiated. In 2012, the first campaigns related to salmon in the Baltic Sea JDP took place in December, but with no impact in the global JDPs figure presented in Figure 1.

During the last three years, the days of activity of JDPs have been reasonably constant. In 2012, the slight increase of days of activity was followed by a more significant increase of number of inspections at sea.

In parallel, one can notice a significant decrease in the level of inspections ashore, resulting in the consequent reduction of the total number of inspections. This is mostly due to the fact that in a Member State there were less landing inspections done as the national measure to inspect 100% cod landings ended at the end of 2011 being substituted by a more risk based approach.

The total number of inspections coordinated in the framework of the JDPs during 2012 is around 9,000 in the JDPs coordinated by EFCA.

**Figure 2: Ratio of apparent infringements per inspection**

**Source: EFCA**

Overall, there has been a decrease in the ratio of the apparent infringements detection per inspection made, with the exception for the cod and salmon in the BS JDP and pelagic in WW JDP.

In the case of the Baltic Sea, whilst there was a significant decrease of the landing inspections made (see above), this was mitigated by a further development of the risk assessment based strategy in place. In this way, a more targeted approach for landing inspections was introduced, allowing for more cost-effective controls. It should also be noticed that the introduction of new management rules in some Member States such as the obligation of cod landings to pass an auction before first sale, has resulted in an increased number of infringements (see table 1 number of infringements detected related to national measures in the BS area).

In the case of pelagic fisheries in WW, it should be noticed that 2012 was the first full year of implementation of this JDP, and there is the need to establish a more extensive time series before being able to assess any trends.

It is very difficult to derive at any conclusions related to compliance trends in the different areas based on direct comparisons between the control effort deployed and infringements detected. The recently established Focus Groups on compliance evaluation and assessment of cost-effectiveness in control operations can bring improved methodological support and more insight to effectively address this issue. These Focus Groups will be supported through a long-term project

that could establish the knowledge-based required for describing the relationships between management measures in place, control effort and strategy, infringements detection rates, sanction levels and any other potential factor affecting compliance dynamics.

**Table 1. Number of apparent infringements detected by type in all JDPs**

JDP	Inspections	Licensing & Pertaining Conditions	Technical Measures	Conservation Measures	Reporting	National Measures	TOTAL
North Sea	19	28	76	19	84	6	232
Baltic Sea	10	15	32	4	37	44	142
Pelagic	6	1	11	-	109	-	127
NAFO	-	1	1	1	-	-	3
NEAFC	1	3	1	3	10	-	18
BFT	1	1	1	7	42	-	52
<b>TOTAL</b>	<b>37</b>	<b>50</b>	<b>122</b>	<b>30</b>	<b>285</b>	<b>50</b>	<b>574</b>

Table 1 provides an overall estimation of the nature of infringements found in the different JDPs. Overall, it can be observed that most of the infringements are related to reporting issues (mostly entry/exit or notification of landing) and technical measures (gear related issues). The inspections column refers to misbehaviour of the inspected person during the operation.

However, it should be outlined that a detailed analysis is presented in the context of the annual assessment of the effectiveness of the different JDPs.

#### 4.4. Training and best practice

To give effect to its coordination duties and legal commitment, EFCA supports Member States in designing a **training programme for trainers and Union inspectors**. A priority in the development of training schemes is to create reference materials for the training of the trainers of the inspectorates and of Union inspectors before their first deployment, the **Core Curricula** (CC). To enhance the involvement of all stakeholders on the achievement of common training objectives, several fora for exchange of experience and best practice were held. A Steering group and a Working group on training and exchange of experience were well established, and Workshops on a regional basis were also organised by EFCA.

The Agency introduced SMART (Specific, Measurable, Accepted, Realistic and Time bounded) objectives related to the Training and development activity and subsequently designed adequate monitoring tools, especially for improving the drafting quality and validation sub-processes.

EFCA contracted fisheries experts, other than national officials, for a limited scope and duration, to assist in the development of the CC in order to have a solid basis for the development of training material.

The time and effort invested in the development of a pedagogical methodology for training was laid down in a **Methodology paper**, which was presented to and approved by the Member States. A dual approach on the CC development was decided and agreed with the Member States. The Curricula are composed of a training handbook with the teaching materials for the students and a training manual with the instruction for the trainer. The development of the CC started with the development of modules on Sea inspection as advised by the Working group. A regional and specific approach according to the fisheries is envisaged.

**A web - based CC development platform** (CCDP 1.0) was created for exchanging information with the external experts and Member States, and a second version of this platform (CCDP 2.0) was tested for using it as an online tool for developing the CC courses. This online application supports the collaboration of experts, Member States, the Commission and EFCA for the development of CC training materials. Authorised users are able to exchange, to track comments of the different versions of the documents, and to manage meetings, discussion groups, calendar, news, or announcements. This virtual collaboration tool will provide the capacity to draft and review remotely Core Curricula (CC) documents.

At the request of Member States, participation of EFCA in general national training programmes was conducted. Assistance was delivered for a basic training programme in Belgium.

**Regarding training workshops in support of regional cooperation**, during 2012, 13 training workshops were organised by EFCA with Member State officials (see Annex I – 3 “JDPs output”).

They were conducted following identification of training needs in cooperation with the Commission and the Member States. These workshops addressed:

- Staff working in Member States and EFCA FMCs (who could act as CCIC or ACC)
- Inspectors operating under EU waters JDPs (NS, BS and WW) and Black Sea cooperation.
- Union Inspectors to be deployed in the context of non-EU waters JDPs in support of international control and inspection schemes adopted by Regional Fisheries Management Organisations (RFMOs)

Regarding the support to the Member States in the fight against IUU activities, 4 workshops were organised to which in total 87 experts attended.

JDP/REGION/ SUBJECT	Training workshops	Participants
North Sea	1	16
Baltic Sea	1	33
Western Waters	1	21
NAFO & NEAFC	3	84
Mediterranean and Black Sea	6	119
CCIC/ACC	1	22
IUU	4	87
<b>Total</b>	<b>17</b>	<b>382</b>

The seminar organised for Member States and EFCA staff (CCIC and ACC) working in coordination centres under JDPs proved to be good platform to discuss and develop the best practices for operational coordination of joint operations within the framework of the BS, NS and WW JDP.

The 2 workshops organised for inspectors working for the **BS and NS JDPs** helped to focus on best practise related to the application of the Electronic Reporting System, controls of fish consignments transported on land, and on procedures related to the deployment of European Union inspectors in waters of a different flag state. The introduction of “real case scenarios” and the organisation of operational units grouping Member States inspectors have facilitated the development of a common understanding and common operational procedures to any potential “real-life” operation. These events highlighted the need to strengthen the operational cooperation through Technical Joint Deployment Groups. The Baltic Sea annual workshop gave special attention to salmon fisheries and methodologies for control of this new fishery incorporated to the JDP.

In the **pelagic in Western Waters JDP** a real case was introduced by EFCA to the group to give an example of how international cooperation can be achieved and coordinated. Case studies prepared by EFCA were used to simulate scenarios during ashore and seagoing inspections. Participants also benefited from experiences and knowledge of some Member States: the Irish team gave a presentation centred on their control methods regarding pelagic fisheries and the Dutch authorities demonstrated control of a pelagic freezer trawler in port. The group was shown the control system in place followed by a question and answer session with the Dutch team.

Member States were encouraged, in some specific joint campaigns, such as **NAFO or BFT**, to deploy inspectors that have attended an EFCA specific workshop.

During the **NAFO** training course four participants were given presentations on provisions applied for fisheries in the NAFO area giving special emphasis on new measures as agreed in the last NAFO Annual Meeting. Participants were also given practical exercises designed to simulate a variety of scenarios which inspectors might encounter during the course of operations in the NAFO Regulatory Area.

The annual two-day training course was scheduled to take place in late March shortly prior to the start of the 2012 NEAFC fishing season. The training incorporated all up-to-date provisions for the NEAFC fisheries, and practical exercises were used to simulate situations in which inspectors might find themselves during the course of routine seagoing inspection work in the NEAFC Regulatory Area. In addition to this annual training, EFCA staff delivered a one-day training seminar to both UK and Irish NEAFC inspectors. This type of training in the Member States will continue in future years and may be expanded.

A regional Seminar for national trainers of Member States concerned by the **2012 bluefin tuna JDP** was organised in order to supplement the knowledge gained by national trainers during previous bluefin tuna training courses. It mainly dealt with the utilization of **video recordings** for the purpose of the estimation of the number and weight of bluefin tuna during the transfers and caging operations. In this regard, EFCA presented the specific inspection tasks regarding video recording requirements based on benchmarks, priorities, methodology and procedures for control as established in the Commission Decision (2011/207/EU) establishing a specific control and inspection programme related to the recovery of bluefin tuna in the eastern Atlantic and the Mediterranean.

The knowledge acquired and the material disseminated during the regional seminar has facilitated the preparation, development and implementation of national training courses. Several Member States organised **bluefin tuna national trainings**. EFCA coordinators supported the national training implemented by Cyprus. For the first time, Italy has conducted national training sessions through video conferences with regional offices.

EFCA has also organised a **Black Sea Regional training** for Bulgarian and Romanian national trainers which were involved in the implementation of the 2012 National & Monitoring Control Plans for turbot. The main objective of this regional training was to train Member State national trainers that would be involved in the preparation, development and implementation of national training courses for inspectors in their own countries. Training material (theoretical presentations and practical exercises) was disseminated during the regional training to facilitate the preparation and implementation of the national ones. The training remains a high priority and the EFCA will continue to further cooperate with Member States in that respect. A training steering committee (TSC) was set up in 2012 in order to maintain the consistency and allocate the appropriate level of resources to the different training undertakings of the Agency (CC, trainers, Union inspectors, advanced best practice).

As for **IUU**, 4 training workshops for Member States' officials were organised, which 85% of the participants evaluated with "very good" or "good". Moreover, EFCA took part in two national IUU seminars.

#### 4.5. Assessment and evaluation

Periodic reporting has been undertaken in all JDPs, ensuring timely communication of the results through the Steering Group members and stakeholders, generally at the end of the different joint campaigns. This reporting system is both data-based and qualitative, covering all the different elements of the activities. This system has permitted a joint analysis with Member States to highlight possible common problems and discuss potential solutions.

The complete assessment reports for the Bluefin Tuna and NAFO/NEAFC JDP can be found in Annexes I.1, I.2 and I.3. Due to the late closure (December 2012) of European waters JDPs (Pelagics in WW, cod in the NS and WW and cod and salmon the BS), these assessment reports will be completed during the first half of 2013 after consultation with the regional Steering Groups.

At a more strategic level, in accordance with the annual seminar of JDPs 2011 "The way forward – Assessing effectiveness", the recently developed *non-paper* for a new SCIP model and the Five year independent external evaluation of EFCA activities (2007-2011), the EFCA Administrative Board (AB) asked the Agency to develop a method for assessing the cost-effectiveness of control operations and to evaluate general trends in compliance levels. In this sense, two Focus Groups were created and a call for tenders for a methodology to evaluate the costs of JDPs was published.

The implementation of these Focus Groups will be an important strategic axis for EFCA activities in 2013.

As for Capacity Building, new Key Performance Indicators (KPIs) were defined for key activity areas according to SMART criteria (Specific, Measurable, Accepted, Realistic and Time bounded). Such KPIs monitored progress toward strategic goals and specific objectives throughout the key capacity building processes as identified.

For measuring performance, two major types of indicators were selected and assigned in terms of achievements with qualitative and quantitative indicators. First, progress towards achieving pre-defined project development phases such as completion target dates for IT system developments, or training attendees satisfaction rate. Secondly, the measurement of repeated achievement of some level of operational goal, such as availability rates of IT applications. These assessments will lead to the identification of potential improvements in the concerned key activity areas. Detailed reporting tables for IT, Data Monitoring and Networks, Training, Maritime Surveillance and Pooled Capacities, and IUU are provided in Annexes I.6, I.7, I.8 and III.4.

#### 4.6. Cooperation with third countries

Within the frame of the AWP 2012 several cases of cooperation with third countries were foreseen, namely:

- Mediterranean third countries
- North Atlantic third countries

##### **Mediterranean third countries**

A **Technical Seminar with ICCAT Contracting Parties** (CPCs) on the monitoring and control of bluefin tuna fisheries was held in Vigo (Spain) on the 28 and 29 of June 2012 (see Annex II).

The Technical Seminar was organized by the European Fisheries Control Agency (EFCA) at the request of the European Commission. All Mediterranean ICCAT CPCs having an interest on bluefin tuna fisheries were invited. Representatives from Algeria, Croatia, Morocco, Tunisia, Turkey and the European Union attended the Technical Seminar. A number of EU representatives from France, Italy, Malta and Spain attended.

The objective of the seminar was to provide an opportunity for an exchange of views and best practices in monitoring and control measures of bluefin tuna in light of recent developments in the fishery.

The possibility to organise a new meeting to continue the cooperation among CPCs that has started during this Technical Seminar was discussed. Participants considered that these Seminars

could be very useful to improve the cooperation and facilitate the exchange of best practices on bluefin tuna control issues.

**Croatia** will join the EU from 1 July 2013. In these circumstances, and considering the importance that Croatia can be joined to the EFCA programmes from this date, a roadmap between EFCA and Croatia was discussed on October 2012, and it is being implemented in order to initiate a cooperation in accordance with the EFCA 2012 and 2013 work programs which foresee cooperation with Mediterranean third countries including Croatia.

The road map establishes:

- Participation of Croatian experts to the EFCA (BFT) Steering Group meeting and to other steering and working groups (core curricula, advanced training, etc.).
- Exchange of inspectors during the next BFT campaign;
- Secondment of a Croatian expert in EFCA TJDG operated in Vigo during the next BFT campaign;
- Tests and exchange of data (VMS and if possible ERS data) before and during the next BFT campaign;
- Participation of EFCA trainers to Croatia National training sessions;

Croatia participated to the last Bluefin tuna Steering Group of 2012, and full involvement in the Mediterranean JDP is expected in 2013.

EFCA continues to support the European Commission in the framework of the **EU-Turkey** fisheries dialogue working group. EFCA participation is related to cooperation in control regarding the bluefin tuna season in the Mediterranean Sea and the fishing in the Black Sea. It was agreed to maintain a general cooperation and an exchange of information during the fishing campaign. Information and methodology for inspections were exchanged.

An **evaluation meeting** after the fishing campaign was also held in Istanbul. EU and Turkey made a detailed presentation explaining their BFT inspection activities in the framework of ICCAT Joint Inspection Scheme. In relation to the mutual cooperation, this is expected to continue during 2013.

### **North Atlantic third countries**

EFCA participated to the second meeting of the working group on control, monitoring and enforcement between the EU and **Russia** in Lithuania in November 2012

The main objective of the Working Group is the exchange of ideas to further strengthen co-operation in control, through exchange of information and exploring joint actions to that end.

For 2013 the exchange of information regarding Baltic Sea technical and fisheries control measures and available inspection means is expected. Also, Russian inspectors will be invited to participate to the next EFCA workshop for Baltic Sea fisheries inspectors.

As in previous years, the operational cooperation with **Canada** in the framework of the inspection activities in NAFO was maintained. A permanent exchange of operational information with Canadian Patrol vessels in the area is kept by the European means assigned to the JDP NAFO. Besides, article 28(5) of the NAFO Conservation and Enforcement Measures for 2012 provides for cooperation between Contracting Parties in the field of fisheries Monitoring, Control and Surveillance (MCS) with respect to the NAFO Regulatory Area (RA).

In past years, Canada and the European Union have undertaken a number of joint operations in the framework of NAFO pilot project on joint inspection procedures. Inspectors from the European Union operated alongside Canadian colleagues aboard of a Canadian inspection platform and vice versa.

During 2012, a Canadian inspector participated in a patrol of the NAFO Regulatory Area aboard the EU chartered FPV Tyr, together with EU NAFO inspectors. The results of the campaign was positive, permitting the discussion of specific points and providing feedback for a future discussion in NAFO to establish a permanent mechanism of cooperation between the different contracting parties in NAFO through exchanges of inspectors.

Last but not least the Agency participated in the meeting of European Neighbourhood Partners in the work of EU agencies.

#### 4.7. Cooperation with the European Commission

In the area of assisting the European Commission in the implementation of the IUU Regulation (EC) No 1005/2008 EFCA closely cooperated with DG MARE in the preparation and conduction of evaluation and dialogue missions to third countries. The principle aim of these missions was to evaluate on the spot the practical implementation of the IUU Regulation by third countries, to establish shortcomings and to discuss possible improvement. EFCA contributed to 9 missions (i.e. *Fiji, Vanuatu, Philippines, Taiwan, Ivory Coast, Vietnam, Thailand and PNG*) by analysing and processing 828 catch certificates and 466 processing statements in addition to background

research on trade statistics, fleet composition, characteristics of the fishing industries, etc. On the spot, EFCA also cooperated with the European Commission in the evaluation of different legal and administrative procedures.

EFCA MWP 2012-2017 & AWP 2012 established the task to assist the Commission and the Member States in respect of the activities of Regional Fisheries Management Organizations. This is the case namely of ICCAT, NAFO and NEAFC.

EFCA is coordinating the participation of the European Union to the International Scheme of Control and Inspection established by these three RFMO through a Joint Deployment Plan, that ensures that the EU obligations of presence in the different areas and also the contribution to an adequate control of the fishing activities

EFCA staff participates in support of the EU Delegation to the annual Meetings of these three organizations, and also to the specific Control Committees of these organizations: COC (ICCAT), STACTIC (NAFO) and PECCOE (NEAFC).

Besides, EFCA has been delegated by the Commission to fulfil a number of tasks related to the notification to RFMOs of different information resulting from the inspection activities deployed by the Member States inspectors: inspections reports, activity reports, etc.

For 2013 EFCA will continue with this task, and also is foreseen a possible involvement in another RFMO, namely the General Fisheries Council for the Mediterranean (GFCM).

## **5. Governance and representation**

### **5.1. Administrative and Advisory Boards**

#### **5.1.1. Administrative Board**

The Administrative Board is the main governing and controlling body of EFCA. It is composed of six members representing the Commission and one representative per Member State. The Chair of the Administrative Board is Mr Jörgen Holmquist, appointed on 18 October 2011, and the Deputy Chair is Mr Dario Cau, appointed on 10 October 2012.

In 2012, two meetings of the Administrative Board were held in Vigo; the 16<sup>th</sup> meeting of the Administrative Board was held on 15 March and the 17<sup>th</sup> meeting on 9/10 October.

At its 16<sup>th</sup> meeting, the Administrative Board adopted, amongst other, the Multiannual Staff Policy Plan for 2013-2015, the Draft Budget for 2013, took note of the Provisional Multiannual work programme for years 2013-2017 and Annual work programme for year 2013 and issued the recommendations on the Five year independent external evaluation of the Agency.

At its 17<sup>th</sup> meeting, the Administrative Board adopted, *inter alia*, the Multiannual work programme of EFCA for years 2013-2017 and the Annual work programme for year 2013 together with the Budget of the EFCA for year 2013.

In the last quarter of 2010, the Administrative Board initiated the procedures for the commissioning of an independent external evaluation on the 5 year activity of the Agency. The aim of the evaluation was to assess the impact of the legislation, the utility, relevance and effectiveness of the Agency and its working practices and the extent to which it contributes to the achievement of a high level of compliance with rules made under the common fisheries policy. The Evaluation was finished and adopted by the Administrative Board in 2012 (see Chapter 6).

### **5.1.2 Advisory Board**

The Advisory Board, composed of one representative of each Regional Advisory Council (RAC), met twice in 2012 prior to the Administrative Board meetings; in Brussels on 21 February and in Vigo on 12 July 2012.

The Advisory Board representative in the EFCA Administrative Board is appointed in accordance with the yearly rotation system agreed by its members. From 2 March 2012 to 1 March 2013 the BSRAC was appointed representative of the Advisory Board in the Administrative Board, and the PelagicRAC alternate. The representative of the Advisory Board in the Administrative Board will rotate to the PelagicRAC and the alternate will be the representative of the LDRAC on 1 March 2013.

## **5.2. Communication**

In 2012, EFCA was supported by its Communication strategy to ensure the overall operational goals; and the Agency's mission and work have been well known by its target audiences, comprising stakeholders in the fisheries where EFCA is involved.

EFCA reached the general public in support of the European Commission strategy conveying the CFP message and in particular, EFCA participated in the Seafood Exposition in Brussels. This included continuous EFCA staff presence and a promotional display.

Media work was developed around the main topics of the year. Besides the communication of main decisions taken at the Administrative Board, there were other relevant issues to communicate such as the agreement on cooperation activities between Croatia and the European Fisheries Control Agency, the inclusion of salmon in the Baltic Sea JDP or the results of the 2012 JDP for bluefin tuna and the seminar with ICCAT contracting parties in Vigo. Throughout the year and upon request, interviews were convened and interested journalists were briefed.

During 2012, the Agency received a number of high level visitors, including Commissioner Damanaki, the EP Fisheries Committee, the FPVs from the UK (HMS Severn) and Ireland (LE Emer), the Executive Director of EMSA, national and regional authorities, industry representatives, scientists and other stakeholders.

With a view to promoting Europe in the location of its host seat, EFCA celebrated Europe Day in Vigo at its premises in the presence of the Galician regional minister of the Sea and the Mayor of Vigo. The event was attended by prominent regional and local authorities as well as other fisheries stakeholders and was widely covered in the regional press. EFCA representatives also attended the World congress of Cephalopods, taking place in Vigo, in the context of the Conxemar fair.

With regards to online communication, the development of a new intranet was concluded, so it can become the main access tool for information for EFCA staff with a view to have an easier, more user friendly interface that can streamline working processes. Regarding the EFCA website, the number of visitors has remained steady in an average of 4000 per month and an analysis study of possible target software components for a new website was launched.

Other tools produced to underpin EFCA communication included the printed EFCA Annual Report and Multiannual work programme, as well as a video explaining the work of EFCA and other promotional material. In addition, in 2012 the change of name from CFCA to EFCA became fully effective.

### 5.3. Representation and networks

The **Regional Advisory Councils (RACs)** represent the stakeholders in relevant geographical areas or fisheries. There are seven Regional Advisory Councils which cover different fishing grounds; both in EU and international waters and those under fisheries agreements: North Sea RAC, Pelagic Stocks RAC, North Western Waters RAC, Baltic Sea RAC, Long Distance RAC, South Western Waters RAC and Mediterranean Sea RAC.

The RACs are an important target audience for the EFCA in its Communication policy, as they are partners and suppliers of information to a range of fisheries organisations and other stakeholders.

During 2012, EFCA participated in meetings of the Executive Committees of the RACs, especially in those of the RACs affected by the Joint Deployment Plans adopted by EFCA. The Agency also participated in the RAC Working Groups, but solely when issues referring to EFCA competences were included in the agendas of the relevant meetings.

EFCA attended the meetings convened by the Commission, the European Parliament and the Council where its presence was desirable, required or in the interest of the Agency.

Amongst the meetings attended during 2012 were the hearings in the EP Committee on Fisheries and the presentations made on the occasion of the visits of the Commissioner Maria Damanaki and the EP Committee on Fisheries delegation to EFCA headquarters. In addition, EFCA representatives also attended the Commission expert groups on control for fisheries and aquaculture.

EFCA has participated, and supported the EU delegation, in meetings of the RFMOs, in which JDPs are executed: NAFO, NEAFC, and ICCAT. During 2012 the Agency also participated in the Coastguard Forum meetings.

On horizontal matters, the inter-agency cooperation network coordinates the relations between Agencies, the Commission and the European Parliament. In this context, the Executive Director and the Head of Administration attended the various meetings held at managerial level. Likewise, Agency staff met their counterparts through specific technical networks: Procurement (NAPO), Communication, Data protection, Legal (IALN), IT, the Performance Network and Accounting.

The Agency was also represented on the Board of the Translation Centre during two meetings in 2012.

## **6. Five Year Independent External Evaluation of the EFCA**

In accordance with the Agency establishing Regulation, within five years from the date of the Agency having taken up its responsibilities, and every five years thereafter, the Administrative Board shall commission an independent external evaluation of the implementation of the above Regulation. Therefore, the first Five year independent external evaluation of the EFCA (2007-2011) was carried out and made public in March 2012.

The evaluation assessed the impact of the Agency establishing Regulation, the utility, relevance and effectiveness of the Agency and its working practices and the extent to which it contributes to the achievement of a high level of compliance with rules made under the common fisheries policy. It involved desk research, stakeholder consultations, a survey of Administrative Board members, a survey of Regional Advisory Council (RAC) members and other stakeholders, five case studies, and a focus group meeting on the conclusions and recommendations.

The conclusions can be summarised as follows:

- 
- The Evaluation report indicates that on the whole, **governance arrangements** have worked well. Considering the Agency's limited resources, its operation in the politically sensitive environment of fisheries policy, and current Member State budget constraints, performance against the evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability can be considered promising.
  - With reference to the **performance** element, the review of relevance confirms the strong relevance of operational coordination to EU and Member State needs and priorities. It is highlighted that efforts are under way to further enhance the effectiveness of the JDPs, via introducing new concepts (multi-species and continuous JDPs). A positive contribution was made by capacity building.
  - The Evaluation report also pointed out that the Agency also scores well against the evaluation criterion of **efficiency**. With regard to the Agency administration it is stressed that the Agency stands out for efficient administration, making good use of relevant EC support services, cooperating with other agencies, and swift follow up on EC Internal Audit Service or ECA observations.
  - Regarding **effectiveness**, the evaluators have found much positive stakeholder feedback, both in terms of enhanced Member State cooperation and Member State compliance with CFP requirements. Concerning Member State cooperation it is, however, noteworthy that cooperation outside the JDPs is often not articulated in formal bilateral or multilateral agreements.
  - As for the **impact** of the Agency activity in terms of improving the situation of the fish stocks and enhancing the "level-playing field", it is underlined that there is limited information available, although Stakeholder consultations point to improvements, and Administrative Board members confirm this for some of the areas covered by the JDPs.
  - It is also highlighted that the Agency activity has good prospects for **sustainability**. Administrative Board members consider that practices acquired in the framework of the JDPs and CFCA capacity building are being integrated in Member State practices. The positive feedback on enhanced trust between Member States, and substantial best practice exchange also support the positive sustainability prospects.

In the framework of the Evaluation the Administrative Board considered that organising an open forum, where the main stakeholders would be invited to maintain an open discussion to debate and analyse the work that has been done since the setting up of the EFCA and the way forward, would

provide the Board with an extremely valuable input before issuing the findings and recommendations under the EFCA evaluation.

In that context the main stakeholders (*inter alia*: Member States, Parliament, European Commission, NGOs, RACs) were invited to participate in the Seminar on the five year independent external evaluation of the EFCA on 14 March 2012.

In order to enhance and facilitate the discussion, interpretation was provided in several languages. The Seminar was very welcomed by the stakeholders and increased transparency and visibility to the whole process. Moreover, the conclusions and feedback from the Seminar brought an exceptional input to the Board in the issuing of recommendations to the Commission.

It is worth noting that the organisation of an open debate with the stakeholders in the context of an EU decentralised Agency evaluation has been included as an example of good practice in the review of the “Performance management tools and practice in EU Agencies” carried out by the EU agencies Performance development network.

In the light of the Five year independent external evaluation of the EFCA and the conclusions of the Seminar the Administrative Board issued a set of recommendations on 15 March 2012 (Annex XI) that were forwarded by the Commission to the European Parliament and the Council and published together with the Evaluation report in the Agency web site:

([http://www.efca.europa.eu/pages/home/docs\\_basicdocs.htm](http://www.efca.europa.eu/pages/home/docs_basicdocs.htm)).

Following the Administrative Board Recommendations, the Agency prepared a follow-up road map on the different actions to be implemented. Furthermore, the Multiannual work programme 2013-2017 and Annual work programme 2013 has made explicit reference to the recommendations within the Agency activities to be performed on a short and medium term.

## ANNEX I. Operational Activities

### 1. Assessment report of Bluefin tuna

#### FINAL REPORT REGARDING THE IMPLEMENTATION OF THE 2012 JOINT DEPLOYMENT PLAN FOR BLUEFIN TUNA FISHING ACTIVITIES IN THE EASTERN ATLANTIC AND THE MEDITERRANEAN

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## I - Introduction

Since 2008, the European Fisheries Control Agency (EFCA) has brokered cooperation between Member States (MS) national services involved in control, inspection and surveillance of the bluefin tuna fishery through the implementation of Joint Deployment Plans (JDPs). The JDP's objective is to ensure the operational coordination of joint control, inspection and surveillance activities by MS engaged in bluefin tuna fisheries in order to contribute to a successful implementation of the control provisions included in the ICCAT bluefin tuna multiannual recovery plan.

According to scientific reports, bluefin tuna in the Eastern Atlantic and the Mediterranean has been overfished for several years. In order to overcome this situation, a multiannual recovery plan for bluefin tuna in the Eastern Atlantic and Mediterranean was adopted by the International Commission for the Conservation of Atlantic Tunas (ICCAT) with the goal of achieving by 2022 the biomass that enables a fish stock to deliver the maximum sustainable yield.

In 2012, the SCRS conducted an update of the 2010 assessment of Atlantic bluefin tuna. The ICCAT's Standing Committee on Research and Statistics (SCRS) stated that:

- in the most recent period, the SSB showed clear signs of increase. However, the magnitude and the speed of the SSB increase remain, highly uncertain.
- Since 2008, F at ages 2-5 decreased sharply to reach the lowest historical values. For oldest fish (ages 10+), F has declined since the late 2000s. These recent trends in F are consistent with those obtained during the 2010 stock assessment.

During the 2010 Annual Meeting, ICCAT amended the multiannual recovery plan for bluefin tuna in the Eastern Atlantic and Mediterranean, which was adopted in 2008 and slightly modified in 2009. The amended recovery plan (ICCAT Recommendation 10-04) includes, among others, the following measures:

- A new TAC for 2011 was set at 12.900 tons for Eastern Bluefin tuna, which has a high chance ( $\geq 95\%$ ) that the condition of the stock will improve in the coming years and of about 67% that it will be fully recovered by 2022.
- Additional reductions in fishing capacity.
- Reinforced provisions regarding transfer and caging operations, such as for instance observer coverage extended to monitor all active towing vessels (in addition to the coverage made by ICCAT regional observers on purse seiners and farms) and additional measures to ensure more accurate data on the numbers and biomass of bluefin tuna.
- A limit on the number of joint fishing operations that could be carried out (only permitted when they involve Contracting Parties (CPCs) with less than five authorized purse seiners).

- 
- Enhanced Vessel Monitoring System (VMS) obligations.

The recovery plan adopted in 2010 entered into force when the 2011 purse seine fishing season was already over. However CPCs applied provisions contained in this recovery plan already during the 2011 purse seine fishing season.

Following ICCAT's mandate to review the recovery plan in 2012, the bluefin tuna recovery plan was further amended during its annual meeting (Agadir, November 2012). The main amendments can be summarized as follows:

- The TAC has slightly increased and for 2013 and thereafter will be 13,400 t annually.
- The purse seine fishing season has been delayed. The new fishing period will be from the 26 May until the 24 June.
- The baitboats and trolling boats fishing season has been delayed. The new fishing period will be from 1 July to 31 October.
- The recording requirements for catching vessels, towing vessels, auxiliary vessels and processing vessels have been streamlined.
- Minimum standards for video recording of transfers and cagings have been elaborated and included as an annex.
- Stereoscopic cameras or alternative techniques that provide the equivalent precision shall cover 100% of all cagings in order to refine the number and weight of the fish in each caging operation.

Concerning EU legislation related to bluefin tuna fisheries, in 2012 two legal instruments were adopted, a Commission Decision and an EU Regulation:

- Commission Implementing Decision 2010/246/EU of 2 May 2012 amending Decision 2011/207/EU establishing a specific control and inspection programme (SCIP) related to the recovery of bluefin tuna in the eastern Atlantic and the Mediterranean. This decision intends to reinforce the requirements concerning sampling and pilot operations set out in paragraph 87 of ICCAT Recommendation 10-04, as well as to update and correct certain references of Commission Decision 2011/207/EU.
- Regulation (EU) No 500/2012 of the European Parliament and of the Council of 13 June 2012 amending Council Regulation (EC) No 302/2009 concerning a multiannual recovery plan for bluefin tuna in the eastern Atlantic and Mediterranean entered into force on 23 June 2012. This regulation mainly transposes the provisions included in ICCAT Recommendation 10-04 into European Union law.

In 2012, for the fifth year the EFCA has coordinated the implementation of a bluefin tuna JDP in the Eastern Atlantic and the Mediterranean Sea. The present report describes its implementation and includes the results of coordinated joint control inspection and surveillance activities by MS. This report does not contain information on the activities carried out by the MS concerned outside the JDP and by the European Commission (EC).

## II - Training under the 2012 Joint Deployment Plan for the bluefin tuna

A regional Seminar for national trainers of Member States concerned by the 2012 bluefin tuna JDP was held from 5 to 6 March 2012 in Paris (France). Fourteen participants from MS (Cyprus, France, Italy, Malta, Portugal and Spain) attended the seminar.

This seminar is intended to supplement the knowledge gained by national trainers during previous bluefin tuna training courses. Therefore, as it has been stressed in previous assessment reports, it is important to ensure that there is a continuity concerning the participants attending these trainings/seminars and that participants to these seminars have a good knowledge of both ICCAT and European Union provisions related to bluefin tuna fisheries.

In 2012, the training mainly dealt with the utilization of video recordings for the purpose of the estimation of the number and weight of bluefin tuna during the transfers and caging operations.

In this regard, EFCA presented the specific inspection tasks regarding video recording requirements based on benchmarks, priorities, methodology and procedures for control as established in Commission Decision 2011/207/EU establishing a specific control and inspection programme related to the recovery of bluefin tuna in the eastern Atlantic and the Mediterranean.

In addition, EFCA hired an experienced Fisheries Consulting to prepare and conduct a session concerning the monitoring of bluefin tuna transfers by video camera in the water. Such a session was largely requested by MS during past seminars and bluefin tuna Steering Group Meetings. This session included basic issues concerning photography and video equipment necessary for recording underwater bluefin tuna transfers, key points to be considered before filming an underwater transfer, examples on the most common ways to manipulate video records as well as instruments to detect fraudulent videos. The last part of the presentation elaborated on the techniques which are useful to estimate the quantity and the size of the fish, including some editing techniques that can be used to improve the quality of the video records in order to make them exploitable for tuna counting purposes. Recommendations on the minimum equipment needed on board the patrol vessel to be able to watch and/or copy the recorded transfers were proposed.

The knowledge acquired and the material disseminated during the regional seminar has facilitated the preparation, development and implementation of national training courses.

Several MS organised bluefin tuna national trainings. EFCA coordinators supported the national training implemented by Cyprus. For the first time, Italy has conducted national training sessions through video conferences with regional offices. Video conferences have proved to be a cost-effective methodology to implement the national trainings of officers which already have a good knowledge of bluefin tuna regulations. In addition, videoconferences have permitted to increase the number of officers attending the sessions. EFCA officers assisted Italy during these video conferences.

### III - The bluefin tuna fishery in 2012

#### III.1 – The fishing fleet

In 2012, the number of MS fishing vessels involved in the bluefin tuna fishery in the Eastern Atlantic and the Mediterranean Sea were as follows:

	CYP	ESP	FRA	GRC	ITA	MLT	PRT	TOTAL	
Gear Type	Purse seine	-	6	9	1	12	-	-	28
	Longline	7	47	82	35	30	30	-	231
	Bait boat	-	15	7	-	-	-	-	22
	Trolling line	-	-	10	-	-	-	-	10
	Trawl	-	-	43	-	-	-	-	43
	<b>Total Catching Vessels</b>	<b>7</b>	<b>68</b>	<b>151</b>	<b>36</b>	<b>42</b>	<b>30</b>	<b>-</b>	<b>334</b>
	Auxiliary	-	86	-	5	17	-	5	113
	Support	-	10	-	-	6	27	-	43
	Towing	-	23	3	-	50	28	-	104
	<b>Total Other Vessels</b>	<b>-</b>	<b>119</b>	<b>3</b>	<b>5</b>	<b>73</b>	<b>55</b>	<b>5</b>	<b>260</b>
	<b>Total All Vessels</b>	<b>7</b>	<b>187</b>	<b>154</b>	<b>41</b>	<b>115</b>	<b>85</b>	<b>5</b>	<b>594</b>

During the 2012 bluefin tuna campaign, the number of ICCAT CPC's vessels involved in this fishery was as follows (Data obtained from the ICCAT list of bluefin tuna catching vessels and ICCAT list of bluefin tuna other vessels as of 4 June 2012 as well as from CPCs Fishing Plans and Reports):

Catching vessels	DZA	CHN	EGY	HRV	ICE	LBY	JPN	KOR	MAR	SYR	TUN	TUR	TOTAL
Purse seine	2	-	1	9	-	13	-	1	1	-	21	11	59
Other gears	-	2	-	14	1	-	22	-	428	-	-	-	467
<b>TOTAL</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>23</b>	<b>1</b>	<b>13</b>	<b>22</b>	<b>1</b>	<b>429</b>	<b>0</b>	<b>21</b>	<b>11</b>	<b>526</b>

Other vessels	HRV	LBY	JPN	MAR	PAN	TUN	TUR	VUT	TOTAL
<b>TOTAL</b>	<b>67</b>	<b>6</b>	<b>3</b>	<b>30</b>	<b>7</b>	<b>21</b>	<b>45</b>	<b>11</b>	<b>190</b>

As far as traps are concerned, the number of active traps was as follows:

Traps	ESP	ITA	MAR	PRT	TOTAL
<b>TOTAL</b>	<b>4</b>	<b>2</b>	<b>8</b>	<b>2</b>	<b>16</b>

It should be noted that:

- The number of EU purse seine vessels authorized to operate for bluefin tuna in 2012 was 28, compared to 29 in 2011, 24 in 2010 (when the Italian purse seiners remained in port) and 87 in 2009. The number of active EU purse seiners will most probably increase in 2013, once that France has completed in 2012 the payback for its overage in 2007.
- The number of other ICCAT CPCs purse seine vessels authorized to operate for bluefin tuna in 2012 was 59, compared to 72 in 2011, 90 in 2010 and 217 in 2009.

In total, 860 catching vessels were authorized to actively participate in bluefin tuna fishing in 2012. The number of other vessels amounted to 450.

### III.2 – The 2012 bluefin tuna fishing pattern

The purse seine bluefin tuna fishing pattern differed slightly from that of previous years. Nevertheless, the traditional bluefin tuna fishing grounds for purse seiners in the Mediterranean remained the same, i.e. Balearic Area, Central Mediterranean, Adriatic Sea and the fishing grounds located N and NE off Cyprus. The main differences in 2012 were that some activity was observed off the coast of Egypt and that no bluefin tuna fishing catches were reported in the Tyrrhenian Sea.

Contrary to what happened in 2011, Algerian and Libyan purse seiners actively fished for bluefin tuna in 2012. Syria did not submit to ICCAT a fishing plan for 2012, therefore the Syrian purse seiner which was active in 2011 was not allowed to operate in 2012 (no information coming from

VMS or AIS sources was received by the Technical Joint Deployment Group (TJDG) created by the JDP.

As it was already the case since 2010, the purse seine fishing period was of one month. In principle, information gathered by the TJDG through the deployed means and VMS information seems to confirm that the fishing period was respected by ICCAT CPCs.

The main highlights of the 2012 bluefin tuna fishing pattern could be summarized as follows:

- The main fishing ground for the six Spanish purse seiners was the Balearic area.
- Six French purse seiners were actively fishing for bluefin tuna in the Balearic area. An additional French purse seiner, supposedly to fish in the Balearic area within a Spanish-French Joint Fishing Operation (JFO), did not actively fish for bluefin tuna since when it finally obtained the permission to proceed to the fishing grounds her JFO's quota was already exhausted.
- Two French purse seiners and one Egyptian purse seiner actively fished for bluefin tuna in the Eastern Mediterranean, off the coast of Egypt. No EU purse seiners operated in this area since 2009, when some Spanish and French purse seiners actively fished in this area.
- Despite some Italian fishing vessels were actively searching for bluefin tuna in the Tyrrhenian Sea, no fishing operations were reported.
- Twelve Italian purse seiners operated in the Central Mediterranean.
- The Greek purse seiner fished for bluefin tuna in the Central Mediterranean.
- Libyan purse seiners operated mainly in the Central Mediterranean. Two Libyan purse seiners operated in the Eastern Mediterranean.
- Purse seiners from Morocco and Turkey actively fished for bluefin tuna in the Eastern Mediterranean, N and NE off Cyprus.
- Purse seiners from Tunisia fished both inside and outside Tunisian waters in the Central Mediterranean.
- Algerian purse seiners were present both off the coast of Algeria and in the Central Mediterranean.
- The only Korean purse seiner operated in the Central Mediterranean.
- The Croatian fleet area of operation was confined to the Adriatic Sea.

In Annex 1, the evolution of total purse seiners fishing capacity since 2009 is shown. As well, the number of purse seiners by FAO Division having fished for bluefin tuna in 2011 and 2012 is illustrated.

EU longliners (only one over 24 m) have been fishing actively for bluefin tuna in most parts of the Mediterranean. Since 2009, Japanese longliners are not actively fishing for bluefin tuna in the Mediterranean. As in previous years, the Japanese longline fleet started to move to Central North Atlantic fishing grounds (outside the Icelandic EEZ) by the end of September, remaining in this zone until the beginning of November.

EU baitboats, trollers and pelagic trawlers bluefin tuna fishing operations are confined to the Eastern Atlantic, mainly within the Bay of Biscay.

As it occurred for the first time in 2011, in 2012 bluefin tuna fished by traps was transferred into towing cages which were subsequently transported by tugs to the farms for fattening purposes.

## IV – Implementation of the Joint Deployment Plan

### IV.1 – Steering Group

The Steering Group (SG) is composed of representatives designated by the Member States concerned and the Commission, and it is chaired by the Agency. The SG is responsible for the overall coordination, and ensures the real functioning of the JDP, in accordance with the SCIP decision, in its three phases:

- Planning of activities, based in risk management;
- Implementation of the activities, ensuring that the Member States commitments are fulfilled and applied properly;
- Assessment of the effectiveness of the JDP, through a common system of reporting and evaluation.

Five meetings of the SG were held in January, April, May, June and December 2012.

The objective of the first SG meeting, which was held in Cyprus, was to finalise the amendment of the text of the JDP in order to adopt the bluefin tuna 2012 Joint Deployment Schedule.

The objectives of the next three meetings, which were held in Vigo (Spain), were mainly to define the strategy and the priorities of the JDP in terms of control and inspection activities, as well as to review the implementation of the JDP.

Finally, the main objective of the last SG meeting was to present the 2012 assessment report and to start with the preparations of the 2013 JDP.

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## IV.2 – Operational coordination

### Technical Joint Deployment Group

The Technical Joint Deployment Group (TJDG) is composed of national coordinators assisted by the Agency coordinators, for the purpose of putting into practice the operational planning and execution of the joint deployment of pooled means of control, inspection and surveillance, as agreed in the JDP. It ensures that the operational coordination between the Member States works. It is chaired by a representative of one of the Member States concerned.

Italy, Malta and Spain seconded national coordinators to the JDP's TJDG in 2012. The TJDG was based at the premises of the EFCA in Vigo (Spain).

The EFCA provided four full-time and one part-time staff to support both the activities of the TJDG throughout the whole campaign and to participate to some of the sea missions implemented within the framework of the JDP. EFCA coordinators participated to 5 missions at sea for a total of 57 days and during 5 missions ashore for a total of 22 days.

The TJDG was operative 7 days a week on an office-hours basis, with staff available on-call during off hours.

The risk assessment implemented to prepare the campaign proved to be successful. The most important bluefin tuna fishing grounds for purse seine fishing (i.e. the Balearic area and the South of Malta), where MS fishing vessels actively fished, were surveyed during the right time periods. Even if in 2012 some purse seiners and tugs operated in areas where the deployment of the means were not planned (i.e. Eastern Mediterranean) the flexibility of the patrol means allowed for the control of the catches in that area. Therefore, monitoring and control of bluefin tuna fisheries in 2012 can be considered as effective.

Regular and timely transmission of VMS information is essential for operational coordination. The TJDG was provided with VMS data by MS through https connection. In the case of VMS data from ICCAT CPCs, the data are submitted directly by each CPC to the ICCAT Secretariat, which in turn re-submits the VMS data to the TJDG through https connection.

MS have regularly transmitted the VMS data to the TJDG. It should be noted that the VMS data from Greece was received by the TJDG irregularly throughout the campaign.

A summary of the situation of VMS data reception in the TJDG from other ICCAT CPCs catching vessels during the purse seine fishing season is provided below:

- Received regularly from Tunisia.
- Received regularly from Turkey. However no VMS positions were received for two authorized purse seiners since the campaign started.
- Received regularly from South Korea except for a gap of three days.
- VMS data from Croatia was not regularly and timely received by the TJDG throughout the campaign and therefore it was not useful for control purposes.
- Regularly received for 9 Libyan purse seiners only after the 28 May 2012. 4 authorized purse seiners VMS data were never received by the TJDG.
- VMS data from the Moroccan purse seiner was never received by the TJDG. However, it has been observed that this vessel was operating in the Eastern Mediterranean, N and NE off Cyprus, since she was sighted at sea by AIS.
- Received irregularly from Algeria and Egypt throughout the purse seine fishing season.

In 2012, the TJDG has facilitated the exchange of VMS within MS. As well, the TJDG submitted VMS information from ICCAT CPCs bluefin tuna fishing vessels to inspecting MS which had patrol vessels deployed in the same areas where those fishing vessels were operating.

#### IV.3 – Deployment of pooled means

In 2012, MS made available 194 ICCAT, Union and National inspectors for the implementation of the JDP.

Regarding the pooling of means to control and inspect bluefin tuna fishing activities, the means deployed by MS during the JDP campaign were as follows:

Type of Means	Aerial means					Total
	ESP	FRA	GRC	ITA	MLT	
Airplanes	1	2	3	2	1	9
Helicopters	2	-	-	-	-	2

Type of Means	Patrol vessels						Total
	CYP	ESP	FRA	GRC	ITA	MLT	
Coastal Patrol Vessels	3	1	3	3	11	2	23
High Seas Patrol Vessels	1	1	2	-	2	-	6

In 2012, no joint EU-inspection vessel was chartered by the EFCA.

## IV.4 – Activities undertaken within the framework of the 2012 BFT JDP

The 2012 Joint Deployment Schedule was agreed by MS within the SG and adopted on 4 April 2012 as Decision 2012/002 of the EFCA Executive Director.

During the bluefin tuna campaign 193 days of ashore missions have been coordinated by the TJDG. Additionally the means committed to the JDP have been active during 148 days at sea and 61 surveillance flights have been also carried out for a total of almost 199 hours.

	Scheduled	Undertaken	Percentage
LAND	157	193	123%
SEA	165	148	90%
AIR (hours)	194	198:43	102%

In 2012, the days of ashore missions implemented have largely exceeded those planned. On the contrary, MS have implemented fewer days at sea than initially foreseen. In some cases, initial dates of the missions were rescheduled mainly due to bad weather conditions or inspection means technical problems. Hours of aircraft surveillance have slightly exceeded those planned.

The table below summarises by FAO Subarea the days of control activity deployed in 2012.

	WESTERN MED	CENTRAL MED	EASTERN MED	EASTERN ATL	TOTAL
LAND	72	48	37	36	193
SEA	65	63	12	8	148
AIR (flights)	24	29	8	0	61

The table below summarises by MS the days of control activity planned and actually deployed in 2012.

	LAND			SEA			AIR		
	Scheduled	Undertaken	Difference	Scheduled	Undertaken	Difference	Scheduled	Undertaken	Difference
CYP	11	22	+11	6	6	0	0:00	0:00	0
ESP	36	50	+14	35	23	-12	26:00	26:25	+00:25
FRA	26	22	-4	43	39	-4	12:00	31:22	+19:22
GRC	19	19	0	6	4	-2	27:00	30:56	+3:56
ITA	35	49	+14	67	69	+2	75:00	85:30	+10:30
MLT	22	22	0	8	7	-1	54:00	24:30	-29:30
PRT	8	9	+1	0	0	0	0:00	0:00	0
TOTAL	157	193	+36	165	148	-17	194:00	198:43	+4:43

The difference between scheduled and undertaken sea days of mission in Spain was due to the fact that during the second leg of the Spanish patrol vessel deployed in the Balearic area, Spanish

authorities decided to maintain the patrol vessel in the vicinity of the Spanish farm located in Cartagena (South of Spain). Spain informed the SG that some of the videos made during the transfers in high seas were not of enough good quality to make an accurate estimation of the number of bluefin tuna specimens and decided to implement “control transfers” before the caging. The patrol vessel was assigned to this task and accordingly, the TJDG decided to consider the second leg as an ashore mission.

The difference between scheduled and undertaken air hours of surveillance in Malta was due to technical problems of the aircraft designated for the JDP air missions.

#### IV.5 – Evolution of the activities undertaken within the framework of the BFT JDP since 2008

The table below summarises the number of means deployed by the JDP since the first JDP was implemented in 2008, as well as the evolution of the level of control and surveillance activities scheduled by the JDP.

	2008	2009	2010	2011	2012
<b>Means deployed at sea</b>	56	30	27	26	29
<b>Means deployed for air surveillance</b>	10	9	11	9	11
<b>Scheduled days of sea mission</b>	402	274	247	232	165
<b>Scheduled hours of air surveillance</b>	300	219	231	198	194
<b>Scheduled days of ashore mission</b>	167	238	184	150	157

From 2009 to 2011 the level of scheduled sea missions has moderately decreased, and then, from 2011 to 2012 the number of scheduled sea days has decreased substantially. This substantial cut was the result of: (i) Reduction of the duration of the fishing campaign, (ii) no joint EU-inspection vessel was chartered by the EFCA in 2012, and (iii) Some reduction of the commitments made by MS. It should be noted that in 2010 and 2011, the joint EU-inspection vessel implemented respectively 38 and 76 days of mission.

Scheduled air surveillance missions have remained more or less constant in 2011 and 2012, decreasing slightly if compared to 2010 level.

With regard to the scheduled ashore missions, they have decreased substantially from 2009 to 2011 and then remained stable. However, several other ashore missions are implemented by MS outside the framework of the JDP.

The deployment of patrol means and the effort dedicated by MS for the control of the bluefin tuna fishery since the first JDP was implemented in 2008 has been very substantial and MS should be commended for such an effort.

It is certainly premature to decide on the level of control and surveillance activities to be implemented in 2013, taking into account that ICCAT has the mandate to review the recovery plan for bluefin tuna in the Eastern Atlantic and the Mediterranean at its annual meeting in November 2012. However, assuming that the situation of the fishery remains stable in terms of fishing capacity, total allowable catch and fishing periods, in order to maintain an appropriate level of control which is commensurate with fishing activities no further reduction of the control and surveillance activities should be envisaged for 2013. Needless to say that the Steering Group will decide on the level of activities following a careful risk assessment.

#### IV.6 – Exchange of inspectors

The table below shows that so far, 92 days of ashore missions were carried out by mixed teams, while 76 days of sea missions were implemented by joint inspection teams. As it has been mentioned earlier, the nine days of the second leg of the Spanish patrol vessel, which was planned to be a joint sea mission, have been finally considered as an ashore mission.

	Scheduled (Joint/Mixed)	Undertaken (Joint/Mixed)	Percentage
LAND	84	92	110%
SEA	101	76	75%
TOTAL	185	168	91%

The table below shows that 48% of the total land activity days have been undertaken by mixed inspection teams, while 51% of the total sea activity days were implemented by joint inspection teams. If we compare the total figure (49%) with the final ones in 2010 (57%) and 2011 (53%), it can be concluded that the ratio of days of joint/mixed teams against total days of activity decreased by 8% during last years.

	Total days of activity	Days of joint/mixed teams	Percentage
LAND	193	92	48%
SEA	148	76	51%
TOTAL	341	168	49%

#### IV.7 – Pilot Projects on maritime surveillance

During the 2012 bluefin tuna campaign, EFCA has implemented two inter-Agency pilot projects, one with the European Maritime Safety Agency (EMSA) and another one with the European Space Agency (ESA). A Service Level Agreement (SLA) was signed between the two Agencies and EFCA in order to ensure the confidentiality of the exchanged VMS data.

EMSA made available to EFCA the Marsurv-3 application, which allows for providing an integrated maritime picture based on the fusion of VMS, AIS and other maritime data related. A secure link was established between EMSA and EFCA for the transmission of VMS data. The TJDG started to explore the functionalities of the application in terms of its potential to assist in fisheries monitoring and control activities and provided feedback to EMSA.

The cooperation with ESA/e-Geos aimed at assessing the possibility, within the framework of the MARISS project, to correlate SAR satellite imagery with other maritime datasets (such as VMS and AIS). EFCA has been provided access to the MARISS portal which lines up the available SAR satellite images. Via an SFTP server, VMS data was made available by EFCA to ESA/e-Geos for the correlation with SAR satellite information.

In the framework of this inter-Agency cooperation, EFCA has also established an operational cooperation with the European Agency for the Management of Operational Cooperation at the External Borders of the Member States of the European Union (Frontex). The main purpose of this cooperation was to provide an additional surveillance capacity when there was no dedicated fishery surveillance means available in a given bluefin tuna JDP area. EFCA provided a specific training session to Frontex air surveillance crews regarding the characteristics of BFT fishing activity.

A report including detailed information on the results of the implementation of these pilot projects has been distributed to MS.

## V – Results of control activity

### V.1 – Inspections

A total of 611 inspections have been performed throughout 341 activity days in the Eastern Atlantic and the Mediterranean within the framework of the 2012 bluefin tuna JDP, of which 309 were ashore and 302 were at sea. The table below summarises by FAO Subarea the number of inspections undertaken in 2012.

	WESTERN MED	CENTRAL MED	EASTERN MED	EASTERN ATL	TOTAL
LAND	102	102	50	55	<b>309</b>
SEA	127	89	45	41	<b>302</b>

During the implementation of the JDP, both MS and other ICCAT CPCs vessels/operators have been inspected. Land inspections done to MS vessels/operators accounted for 96% of the total number of land inspections carried out, while sea inspections done to MS vessels accounted for 95% of the total number of sea inspections undertaken. The percentage of MS vessels inspected at sea increased from 78% in 2010 to 95% in 2012. The reason is that the deployment of the means of inspection within the JDP is very much based on the fishery pattern of the European

Union fleet in previous years, and only when European Union fleet and third country fleets overlap across time and space there was the opportunity for JDP means to inspect third country vessels. As well, some third countries fleets operated almost exclusively inside their own waters.

	EU MS	ICCAT CPCs	TOTAL
LAND INSPECTIONS	298 (96%)	11 (4%)	309
SEA INSPECTIONS	287 (95%)	15 (5%)	302
TOTAL	585 (96%)	26 (4%)	611

In 2012, control of the video recordings of the transfers implemented by fishing vessels involved in the capture and transport of bluefin tuna for farming operations has been particularly effective. In the Balearic area, 90% of the video recordings of the transfers were carefully reviewed by inspectors, several mis-recordings were identified and possible non compliances were issued. As well, 65% and 100% of the video recordings of the transfers related to catches made by EU vessels in the Central Mediterranean and the Eastern Mediterranean, respectively, were reviewed by inspectors.

In addition, 13 video recordings of transfers having its origin in ICCAT CPCs purse seiners have been reviewed.

A table showing the inspections undertaken within the framework of the 2012 bluefin tuna JDP disaggregated by country of the vessel/entity inspected and type of vessel/entity is presented in Annex 2.

## V.2 – Vessels/operators committing one or more possible non-compliance(s)

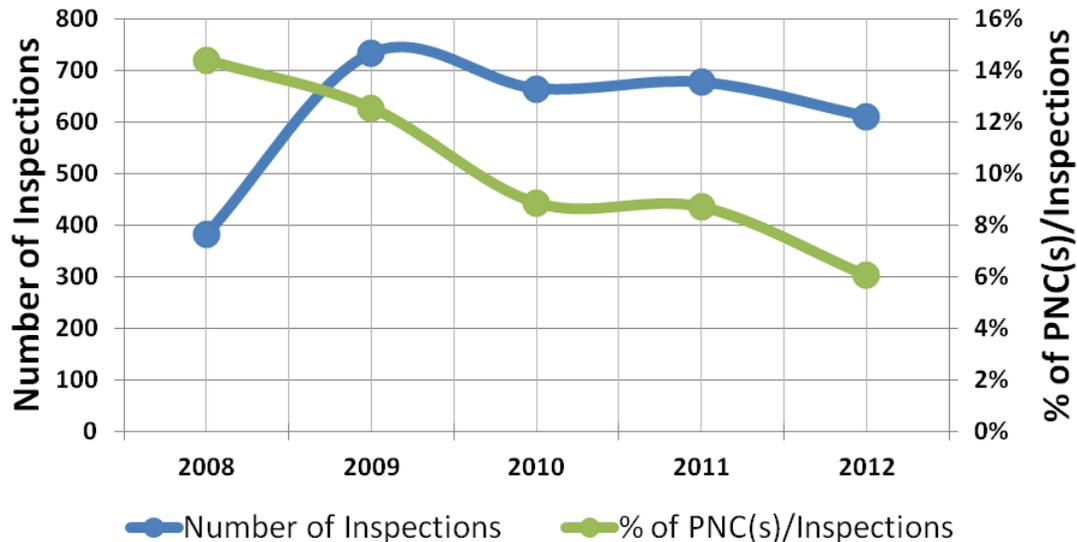
When a possible non-compliance by a vessel/operator is detected by a fisheries inspector, section 11 of the ICCAT inspection report must be filled. It is important that possible non-compliances are accurately described and appropriate reference to articles of the legislation which have been contravened is made. In several occasions, the inspector determined the existence of several possible non-compliances in a single inspection report. However, in this section reference is made to the number of vessels/operators where **one or more possible non-compliance(s)** (henceforward PNC(s)) were detected.

In 2012, 37 vessels/operators committed PNC(s), i.e. 6% of the total inspections resulted in the drawing up of a specific report<sup>15</sup>.

<sup>15</sup> After receipt of inspection documents related to a possible non-compliance, the TJDG establishes a specific report and transmits it to the flag MS and to the European Commission.

	INSPECTIONS	VESSELS/OPERATORS PNC(s)
LAND	309	12
SEA	302	25
TOTAL	611	37

The table below illustrates the development of i) number of inspections and ii) the ratio of PNC(s) against number of inspections from 2008 to 2012. It can be seen that the number of inspection steeply increase from 2008 to 2009, and then slightly decreased from 2009 to 2012. The ratio of PNC(s) against number of inspections has decreased constantly since 2008.



The steep increase on the number of inspections from 2008 to 2009 (with less activity days in 2009 than in 2008) could be the consequence of various factors, namely: i) patrol means were deployed in a more rational way in 2009 due to improved risk analysis, ii) inspectors and patrol means more familiar with JDP procedures as a result of improved regional and national trainings, iii) the experience gained in 2008 and iv) more flexibility of MS at the time of deploying the means. The subsequent continuous decline of the number of inspections from 2009 to 2012 can be explained by several factors such as the reduction of the purse seine fishing period in 2010 (from two months to one) and to the important decrease in the number of active catching vessels.

Most of the vessels/operators PNC(s) have been detected at sea. Indeed, 25 out of the total number of 37 were the result of sea inspections, and out of these 25, 18 have been reported by the inspectors as being serious violations to ICCAT conservation management measures. The number of vessels/operators PNC(s) detected ashore is lower; in fact only 12 were detected by land inspections and out these 12, 2 were reported by the inspectors as being a serious violation.

Concerning the flag/nationality of the vessels/operators PNC(s), 35 were EU vessels/operators and 2 were from other ICCAT CPCs. Regarding the serious violations, 18 were from EU vessels/operators and 2 from other ICCAT CPCs vessels.

	EU MS	ICCAT CPCs	TOTAL
VESSELS/OPERATORS PNC(s)	35	2	37
%	95%	5%	

Since 2008, when the number of vessels/operators PNC(s) was compared against the number of inspections, the result was that a much higher percentage of the inspections made to other ICCAT CPCs vessels/operators resulted in the drawing up of a specific report. For the first time in 2012, these percentages are quite similar, 6% of the inspections made to EU/MS vessels/operators resulted in PNC(s), while for other ICCAT CPCs was 8%. This means that the difference in 2012 was of only a 2%, when for instance in 2011 the difference was 22%, 21% in 2010, and 49% in 2009.

	EU MS	ICCAT CPCs
INSPECTIONS	585	26
VESSELS/OPERATORS PNC(s)	35	2
%	6%	8%

### V.3 – Inspections and possible non-compliance(s) by type of vessels/operators

Again, in this section reference is made to the number of vessels/operators where **one or more possible non-compliance(s)** were detected.

The tables below show, both for ashore and sea missions, the number of inspections done per type of vessels/operators and the number of vessels/operators where one or more possible non-compliance(s) was reported. Tables below show that vessels involved in the capture and transport of bluefin tuna for farming operations (purse seiners, tugs and auxiliary vessels) and longliners have been the main objective of the JDP inspections (66% of the total number of inspections), which is consistent with the overall strategy set by the SG and with the relative importance in terms of catches of each segment of the fishery.

When only land inspections are considered, the percentage of inspections made to vessels involved in the capture and transport of bluefin tuna for farming operations and to longliners accounted for 18% and 34% respectively of total land inspections. In 2012, contrary to what happened in past years, an unusual high number (50%) of PNC(s) was issued to purse seiners during land inspections. This is explained by the fact that the review of several video transfers was done during the second leg of the Spanish patrol vessel, which has been considered as an ashore mission. Usually, the review of the video transfers is done at sea, when purse seiners and tugs are

implementing transfers of live bluefin tuna from the seine to the towing cage. In 2012, Longliners accounted for only 17% of the total vessels/operators PNC(s), compared to a 45% in 2011.

ASHORE MISSIONS	PS	TUG	AUX	LL	OTHER FV	FARM	OTHER LAND	TOTAL
INSPECTIONS	26	6	24	104	70	10	69	309
%	8%	2%	8%	34%	23%	3%	22%	100%
VESSELS/OPERATORS PNC(s)	6	4	0	2	0	0	0	12
%	50%	33%	0%	17%	0%	0%	0%	100%

\*Other land includes traps, markets/supermarkets, trucks and restaurants. Other fishing vessels include baitboats, pelagic trawlers, bottom trawlers, gillnetters, recreational boats and carriers.

If we consider sea inspections, the percentage of inspections made to vessels involved in the capture and transport of bluefin tuna for farming operations accounted for 34% of total sea inspections, which again is consistent with the strategy set by the SG during the implementation of the JDP and with the importance of the bluefin tuna caught for farming purposes. Longliners inspected at sea accounted for 47% of the inspections. Longliners accounted for 40% of the total number of vessels/operators PNC(s) detected at sea, while tugs accounted for 52%. Except in 2011, when longliners accounted for the highest percentage of vessels/operators PNC(s) detected at sea, tugs have been always the type of vessels accounting for the highest percentage of vessels/operators PNC(s).

SEA MISSIONS	PS	TUG	AUX	LL	OTHER FV	FARM	TOTAL
INSPECTIONS	33	63	8	141	57	0	302
%	11%	21%	3%	47%	18%	0%	100%
VESSELS/OPERATORS PNC(s)	1	13	0	10	1	0	25
%	4%	52%	0%	40%	4%	0%	100%

\*Other fishing vessels include baitboats, pelagic trawlers, bottom trawlers, gillnetters, recreational boats and carriers.

When the ratio of vessels/operators PNC(s) against the number of inspections at sea for each category is considered, in 2012 the highest ratio occurred as usual in tugs. 21% of the tugs inspected resulted in PNC(s). Longliners ratio was 7%. In 2011, these results were as follows: 28% for tugs, 20% for auxiliary vessels and 9% for longliners.

SEA MISSIONS	PS	TUG	AUX	LL	OTHER FV
RATIO OF VESSELS/OPERATORS PNC(s) against INSPECTIONS AT SEA	3%	21%	0%	7%	2%

#### V.4 – Typology of possible non-compliances

As already mentioned above, in several occasions the inspector determined the existence of several possible non-compliances (henceforward PNCs) in a single inspection report. If the typology of the possible non-compliances is to be analyzed, we should rather look at the total number of PNCs instead of the number of vessels/operators committing one or more possible non-compliance(s).

In order to implement the analysis, PNCs have been categorised into 4 groups:

- Documentation (which includes logbooks, transfer declarations, BCDs, transfer pre-notification and authorizations, landing pre-notifications, , video of transfers);
- Technical measures (which includes by-catch limits, prohibited fishing gear, undersize catch, closed fishing seasons, quota exhaustion, misreporting of catches, ICCAT lists and transshipment at sea);
- VMS;
- Other PNCs such as the obstruction to the inspection including the absence of pilot ladder and national observers presence.

In 2012, the total amount of PNCs reported by the inspectors was 52 (38 at sea and 14 ashore). In 2011 and 2010, the total amount of PNCs reported by the inspectors was 106 and 84 respectively.

Out of this 52, 46 (88%) refer to EU vessels/operators, and 6 (12%) to other ICCAT CPCs. These percentages are slightly different from the percentages encountered in previous sections when the number of vessels/operators committing one or more possible non-compliance(s) was analyzed, 95% (EU) and 5% (ICCAT CPCs).

As it was the case last year, the highest percentage of PNCs refers to the documentation group, in fact out of the 52 PNCs, 31 refers to this group versus 19 related to the technical measures. No VMS PNCs have been reported by inspectors in 2012, 1 PNC was reported concerning the presence of national fisheries observer and 1 related to obstruction to an inspection.

12 of the PNCs categorized as documentation were related to logbooks (both of the catching and other vessels). Transfer declarations, BCDs and video provisions accounted for 6 each and 1 was related to the absence of the mandatory landing pre-notification.

Concerning the PNCs related to the technical measures, bluefin tuna as by catch exceeding more than 5% of the total catch accounted for 7, undersize catches for 1 and the misreporting of catches for 11 (i.e. difference of more than 10% in the number of bluefin tuna reported in the logbook, transfer declaration and/or BCD and the number of bluefin tuna estimated by the inspectors).

Finally, there was 1 PNC related to the non-presence of national fisheries observer and 1PNC related to the obstruction of an inspection.

Annex 3 shows for each vessel, the PNCs reported by inspectors during the bluefin tuna 2012 JDP. Names of vessels have been removed from the list for confidentiality reasons.

It should be reminded that in their inspection reports, inspectors noted what they believe to be a suspected non-compliance. Inspection reports are then transmitted to the appropriate competent

authorities, which should investigate and follow-up on those suspected non-compliances and undertake disciplinary actions if appropriate. The TJDG has no information on how many of those suspected non-compliances reported by the inspectors concluded in disciplinary actions taken by MS or ICCAT CPCs against vessels/operators.

#### V.5 – Spotting planes

No reports regarding spotting planes were received from deployed means. As in previous years, measures such as the one taken by Italy to close the air space during the 2012 campaign proved to be very effective to prevent the use of spotting planes.

#### VI – Risks of non-compliance with applicable control measures

ICCAT introduced in 2011 new provisions concerning the monitoring and control of transfer operations. Provision for the video recording of transfer activities between the catching and the towing vessel were reinforced. In 2011, several cases were reported both by ICCAT regional observers and ICCAT inspectors in which video records were not strictly compliant with the new provisions.

The operator's compliance with ICCAT provisions related to transfer operations has improved in 2012. However, still some problems have been detected at the time of transfer operations which could eventually cause problems at the level of control. Slight improvements of the rules established in the recovery plan could help to solve some of these issues. Among these:

- Stipulate that the transfer operation starts before the opening of the transfer gate, and ends after its closure. Therefore, the video recording should show the opening and the closure of the transfer gate to ensure that no transfer of bluefin tuna occurred before or after the video recording. It should be noted that some MS have already taken appropriate measures to overcome this issue at the national level and therefore it could be appropriate to apply the same standards at the regional level.
- Currently there is no disposition establishing when the copy of the original video has to be provided to the regional observer and in practice it can be several hours after the transfer, facilitating possible manipulation. Provisions stating that the video recording should be given to the regional observer without delay right after the end of the transfer and defining a procedure to initialize or certify the original recording could help to prevent further manipulations.
- The quality of the video recordings have also improved. However, the definition of common minimum technical standards (for instance cameras, formats, etc.) to be used when

implementing the transfer video recordings could improve even further the quality of the videos and consequently very much facilitate the task of regional observers and inspectors at the time of the evaluation of the numbers and weight of bluefin tuna transferred.

- In the current recovery plan it is foreseen that the flag state of the fishing vessel shall initiate an investigation when the ICCAT Regional Observer estimation during the transfer is at least 10% higher by number and/or average weight. However, there is also the risk that the master overestimates the quantity transferred on purpose. Therefore, it is proposed to modify this provision in line with that of the caging operation and ensure that an investigation is launched whenever during the transfer operation there is a difference of more than 10% by number and/or average weight (higher or lower).
- Sometimes due to bad weather or water conditions, the quality of the video recordings does not allow for an accurate estimation of the number and the average weight. In these particular cases it should be ensured that prior to the caging operation “control transfers” are made. Caging should not be allowed until an accurate estimation of the number and the average weight is provided.
- ICCAT Recommendation 10-04 introduced the obligation to specify the number of the cage which will receive bluefin tuna as information in the transfer authorization request. To complete and strengthen this provision, cages used for bluefin tuna transport or bluefin tuna fattening should be numbered with a unique number at national level.

Clear provisions should be adopted in order to make possible the modification of the quantities (weight and/or number) recorded in an ICCAT transfer declaration or in a BCD following an investigation by one of the States involved in the fishing operation (either the Flag State of a purse seiner or a tug or the Farm State). This issue is especially contentious when operators from different Flag States and/or Farm States are involved in fishing operations, since amendments to these documents might have consequences on the quota uptake of the catching Flag State. For instance, an investigation undertaken by an EU Farm State when caging bluefin tuna caught by a non-EU CPC might reveal an underestimation of the catch, which in turn should have consequences on the quota consumption of the non-EU CPC. The same could happen between EU MS.

Currently, provisions on logbooks are spread over in different parts of ICCAT Recommendation 10-04 as well as in ICCAT Recommendation 06-07. A proposal clarifying and streamlining the obligations of the different types of vessels concerning the information to be registered within logbooks would very much facilitate inspection and control activities.

External marking of fishing vessels shall be a compulsory data to be entered in the vessel ICCAT lists, which is not presently the case. This information is very important during sea and air patrols

to facilitate the control and identification of the vessels. Recommendation 09-08 could be modified accordingly.

To avoid any perversion in the application of the 5% by-catch tolerance, this tolerance shall be calculated on the total weight of fish retained on board.

Carry-over of bluefin tuna in farm cages from one campaign to the next one should be regulated to improve the control of these operations. Therefore, similar provisions for video recording as the ones already adopted for transfer and caging operations could be adopted.

Finally, provisions regarding the activities of the traps should be streamlined and reinforced in order to align them with the innovative activities implemented by traps during the last two years, such as transfers of live fish from traps to towing cages and the fattening of the fish (instead of immediate harvesting). Therefore, provisions concerning reporting duties, as well as monitoring and control obligations at the time of catching, harvesting and/or transfers operations within the recovery plan should reflect the challenges raised by these innovative modalities.

## VII – Conclusions

The main objective of the bluefin tuna Joint Deployment Plan, i.e. to ensure operational coordination of joint control, inspection and surveillance activities by MS engaged in bluefin tuna fishing, has been achieved. In general, it can be said that the missions have taken place according to the Joint Deployment Schedule agreed by the SG and consequently monitoring and control of bluefin tuna fishing grounds has been effective.

The exchange of inspectors is one of JDPs main pillars. It seems that this exchange has decreased during last years. The achievement of the objectives of the JDPs in terms of harmonization of the inspections, increase of transparency and achieving a level playing field depends very much on the exchange of inspectors and therefore MS should be requested to make all possible efforts to increase this exchange.

In 2012, no joint EU-inspection vessel was chartered by the EFCA. The chartering of a joint EU-inspection vessel in the Mediterranean in future campaigns should be desirable, provided that funds are available. In addition to the enhancement of control and inspection activities provided by the joint EU-inspection vessel during past campaigns, its role as a training inspection platform (having on board at the same time inspectors from several EU Member States) and its flexibility proved to be an important advantage. Last but not least, the visibility that a joint EU-inspection vessel gives to the EU in a fishery such as the one for bluefin tuna is not negligible.

The coordination by the TJDG of the deployment of inspection means in 2012 was quite positive, despite the absence of several MS representatives to the TJDG. The presence within the TJDG of National Coordinators from all MS involved in the bluefin tuna fishery is important for an optimal operational coordination of the deployed means. As already happened in 2011, timely information concerning the transfer authorizations issued by MS were received by the TJDG. This information is essential to provide efficient recommendations to patrol means deployed in the fishing grounds, since the presence of inspectors during these transfer operations is highly advisable.

In 2012, the annual regional seminar mainly dealt with the utilization of video recordings for the purpose of the estimation of the number and weight of bluefin tuna during the transfers and caging operations. MS have requested EFCA to address this subject during past seminars and meetings of the SG. The knowledge gained during this regional seminar has been very useful for an improved control of the video transfers during the campaign. It is important to ensure that the topics discussed and the subjects dealt during these regional seminars are disseminated to the maximum number of officers within MS through the organization of national trainings. The content of the regional seminars is intended to supplement the knowledge gained by national trainers during the previous ones. Therefore, as it has been stressed in previous assessment reports, it is important to ensure that there is a continuity concerning the participants attending these seminars and that participants to these seminars have a good knowledge of both ICCAT and European Union provisions related to bluefin tuna fisheries.

EFCA believes that certain continuity in those inspectors participating to the bluefin tuna sea missions implemented by high seas patrol vessels is important to ensure the quality of the inspections and to improve the harmonization. A possibility would be to create a pool of bluefin tuna inspectors which will be designated by MS. Inspectors participating to high seas patrol vessels missions could be selected from such a pool by MS as early as possible. Those inspectors designated could be invited to participate to a seminar before the beginning of the campaign in order to try to maximize as much as possible the harmonization of the inspections through the exchange of experiences and best practices.

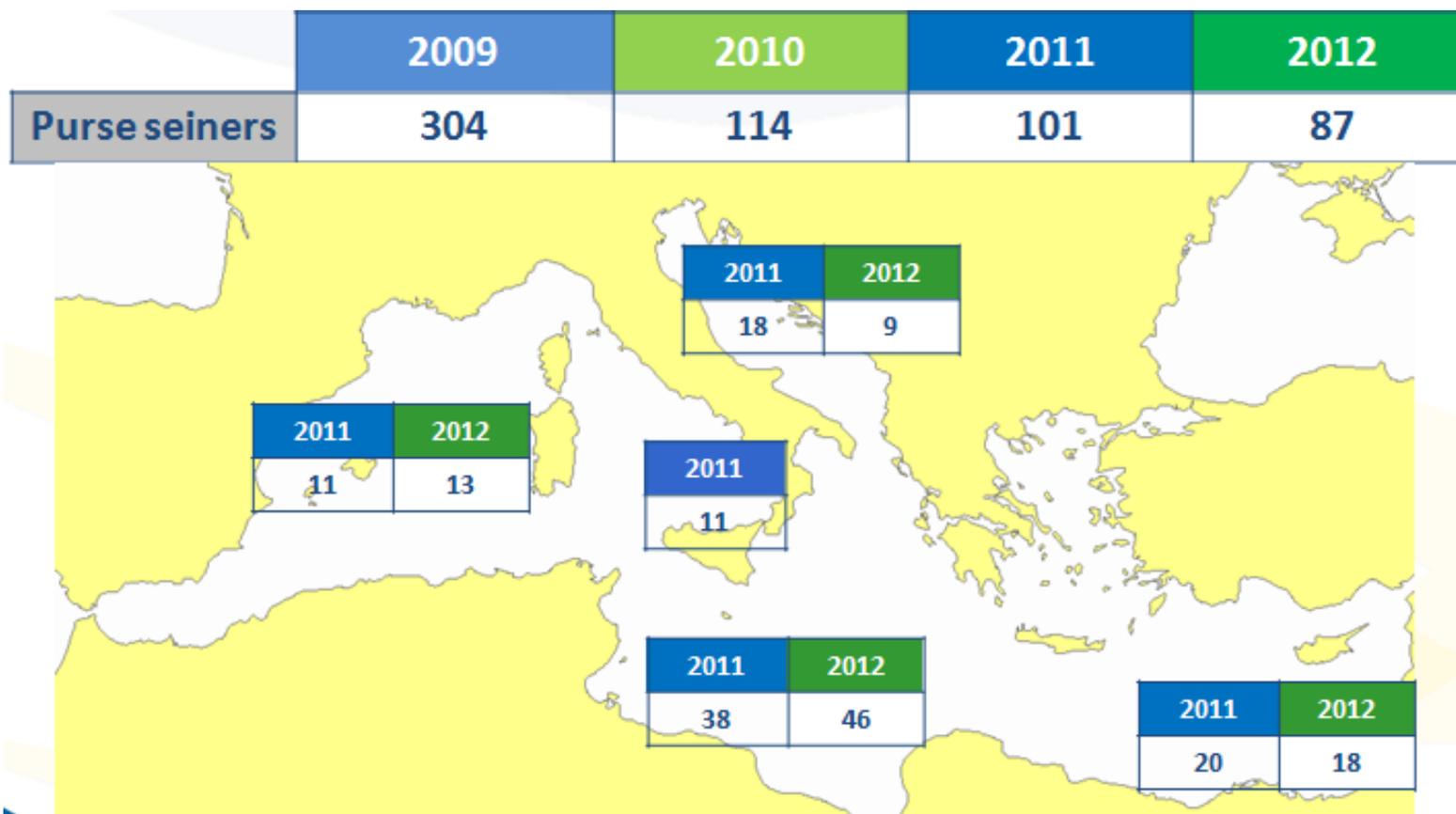
The number of vessels/operators committing one or more possible non-compliance(s) decreased from 59 in 2011 to 37 in 2012. As well, the ratio of vessels/operators committing one or more possible non-compliance(s) against the number of inspections has decreased from 8.7% in 2011 to 6.1% in 2012.

Except in 2011, when longliners accounted for the highest percentage of vessels/operators PNC(s) detected at sea, tugs have been always the type of vessels accounting for the highest percentage of vessels/operators PNC(s).

For the first time since 2008, the ratio of vessels/operators committing one or more possible non-compliance(s) against the number of inspections in EU MS and in other ICCAT CPCs were quite similar. In 2012, 6% of the inspections made to EU vessels/operators resulted in the drawing up of a specific report, compared to 8% in the case of other ICCAT CPCs vessels/operators, i.e. just a 2% difference (in 2011 the difference was 22%, 21% in 2010, and 49% in 2009). This result could lead to the conclusion that the compliance of other ICCAT CPCs vessels/operators with the provisions of bluefin tuna recovery plan has improved. However, it is difficult to draw conclusions due to the limited number of other ICCAT CPCs vessels/operators inspected in 2012.

The result of the analysis of the typology of the possible non-compliances (PNCs) shows that most of them are related to documentation deficiencies and technical measures. These numbers of PNCs in 2011 and 2012 were 106 and 52 respectively, i.e. it has decreased considerably. The knowledge and the respect of ICCAT documentary provisions by skippers has definitely improved since the beginning of the recovery plan. However, there are still some minor problems of interpretation. Initiatives such as the “Technical Seminar with ICCAT Contracting Parties on the Monitoring and Control of Bluefin Tuna Fisheries” organised by the EU in Vigo (Spain) on 28 and 29 June 2012 are certainly helpful to reinforce cooperation with other ICCAT CPCs. Mutual exchange of inspectors with other CPCs and the organization of training/seminars for other ICCAT CPCs should be pursued.

## APPENDIX 1 – EVOLUTION OF THE PURSE SEINERS FISHING CAPACITY (TOTAL AND BY FAO DIVISION)



## APPENDIX 2 – INSPECTIONS BY FLAG STATE AND TYPE OF VESSEL/ENTITY IN 2012

	AUX	FARM	PS	LL	GN	OT	BB/TL	PT	TRUCK	MKT/SUPMKT	TRAP	TUG	RESTO	CARRIERS	REC	TOTAL
<b>TOTAL</b>	<b>32</b>	<b>10</b>	<b>59</b>	<b>245</b>	<b>31</b>	<b>34</b>	<b>42</b>	<b>7</b>	<b>8</b>	<b>54</b>	<b>6</b>	<b>69</b>	<b>1</b>	<b>6</b>	<b>7</b>	<b>611</b>
<b>CYP</b>	0	0	0	32	0	0	0	0	0	0	0	0	0	0	0	32
<b>ESP</b>	11	4	8	22	0	0	36	0	0	0	3	22	0	0	2	108
<b>FRA</b>	0	0	8	32	1	0	6	7	0	0	0	0	0	0	1	55
<b>GRC</b>	0	1	16	22	25	7	0	0	0	3	0	0	0	0	2	76
<b>ITA</b>	5	5	21	100	5	14	0	0	8	30	0	29	1	0	2	220
<b>MLT</b>	3	0	0	32	0	11	0	0	0	14	0	10	0	0	0	70
<b>PRT</b>	11	0	0	1	0	2	0	0	0	7	3	0	0	0	0	24
<b>LBY</b>	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1
<b>HRV</b>	0	0	5	0	0	0	0	0	0	0	0	3	0	0	0	8
<b>PAN</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	6	0	6
<b>TUN</b>	2	0	1	0	0	0	0	0	0	0	0	4	0	0	0	7
<b>JPN</b>	0	0	0	4	0	0	0	0	0	0	0	0	0	0	0	4





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**APPENDIX 4 – 2008-2012 JDPs SUMMARY OF ACTIVITIES AND RESULTS**

	2008	2009	2010	2011	2012
Fishery Patrol Vessels	56	29	27	26	29
Aircrafts	12	9	11	9	11
Days of Land Mission	177	202	193	163	193
Days of Sea Mission	463	267	210	247	148
Hours of Aerial Surveillance	416	218	274	218	199
Mixed vs Total Ashore Missions	65%	55%	59%	50%	48%
Joint vs Total Sea Missions	35%	40%	56%	54%	51%
Land Inspections	181	282	347	331	309
Sea Inspections	201	451	318	346	302
PNCs	55	92	59	59	37

## APPENDIX 5 – GEOGRAPHICAL SUBDIVISIONS AND CODES

### FAO GEOGRAPHICAL SUBDIVISIONS:

Western Mediterranean (FAO Subarea 37.1)

- Balearic (Division 37.1.1)
- Gulf of Lions (Division 37.1.2)
- Sardinia (Division 37.1.3)

Central Mediterranean (FAO Subarea 37.2)

- Adriatic (Division 37.2.1)
- Ionian (Division 37.2.2)

Eastern Mediterranean (FAO Subarea 37.3)

- Aegean (Division 37.3.1)
- Levant (Division 37.3.2)

### ICES GEOGRAPHICAL SUBDIVISION:

Eastern Atlantic (ICES Subarea VIII & IX)

### COUNTRY ALPHA - 3 CODES:

CHN	China
CYP	Cyprus
DZA	Algeria
EGY	Egypt
ESP	Spain
FRA	France
GRC	Greece
HRV	Croatia
ISL	Iceland
ITA	Italy
JPN	Japan
KOR	Korea
LBY	Libya
MAR	Morocco
MLT	Malta
PAN	Panama
PRT	Portugal
SYR	Syria
TUN	Tunisia
TUR	Turkey
VUT	Vanuatu

**TYPE OF ENTITIES/VESSELS:**

AUX	Auxiliary vessel
BB	Baitboat
CARRIERS	Carrier/processing vessel
GN	Gillnetter
LL	Longliner
OT	Bottom Trawler
PS	Purse seiner
PT	Pelagic Trawler
REC	Recreational and Sport
TL	Trolling boat
TUG	Towing vessel
FARM	Farm
MKT/SUPMKT	Fish Market/Supermarket
RESTO	Restaurant
TRAP	Trap
TRUCK	Truck

## 2. Assessment report of NAFO

<b>JDP:</b>	NAFO/NEAFC (merged) - <b>NAFO</b> Assessment
<b>Reporting Period:</b>	01.01. – 31.12.2012
<b>Participating Member States:</b>	DE, DK, EE, ES, FR, IE, LT, LV, NL, PL, PT, SE, UK
<b>Areas:</b>	NAFO RA
<b>Main Landing Ports: (with UNLOC codes)</b>	Vigo (ES VGO), Cangas (ES CAG), Aveiro (PT AVE), Hafnarfjörður (IS HAF), Reykjavík (IS REY), Bay Roberts (CA BYR), Harbour Grace (CA HRE)

### 1. Legal Basis

The EU legal basis for this JDP is defined in the following regulation(s):

<b>EU Regulations:</b>	<p>Council Regulation (EC) No 768/2005 establishing a Community (European) Fisheries Control Agency, in particular Chapter III thereof.</p> <p>Article 120 of Council Regulation (EC) No 1224/2009 establishing a community control system and amending Council Regulation (EC) No 768/2005.</p> <p>Commission Implementing Regulation (EU) No 404/2011 laying down detailed rules for the implementation of Council Regulation (EC) No 1224/2009.</p>
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### 2. Strategy and Objectives:

<b>General objective:</b>	To ensure operational coordination of joint control, inspection and surveillance activities by Denmark, Estonia, France, Germany, Ireland, Latvia, Lithuania, the Netherlands, Poland, Portugal, Spain, Sweden and the United Kingdom facilitated by the EFCA in order to fulfil the obligations of the European Union under the NAFO Scheme implemented by the Council by Regulation (EC) No 1386/2007
<b>Strategy:</b>	Inspection activities in NAFO Regulatory Area taking into account the risk analysis based on information available for fishing activities in the NAFO Area in order to define the specific objectives of the planned control.
<b>Risks:</b>	<p>Following main risk have been identified for the JDP:</p> <p>Excess of by-catch of regulated species</p> <p>Mis-recording of catches of groundfish species</p> <p>Failure to meet the requirements of hail reporting system</p>
<b>Planned Objectives:</b>	Presence of an EU-inspection vessel during the sea campaign in the

	NAFO C.A. during the period January to October 2012 for 145 days.
	Employment of 7 joint teams during the sea campaigns in NAFO RA and mixed teams for landing inspections in EU ports.
	To conduct inspections at sea in order to assess compliance by EU and other Contracting Parties vessels fishing in the NAFO Regulatory Area with requirements of NAFO Control and Enforcement Measures, and by EU fishing vessels for compliance with any other EU conservation and control measure applying to those vessels.
<b>Generic Objectives</b>	Coordination and cooperation achieved
	Information exchange developed
	Risk-based coordination and inspection conducted
	Cross-border inspection conducted
	Level playing field promoted
	Cost effectiveness promoted

### 3. Assessment of JDP:

#### 3.1. General and Specific Objectives

#	Indicator	Score	Comments
1	To ensure operational coordination of joint control, inspection and surveillance activities by Denmark, Estonia, France, Germany, Ireland, Latvia, Lithuania, the Netherlands, Poland, Portugal, Spain, Sweden and the United Kingdom facilitated by the EFCA in order to fulfil the obligations of the European Union under the NAFO Scheme implemented by the Council by Regulation (EC) No 1386/2007 in accordance with Article 5 of Council Regulation (EC) No 1224/2009		Most of the objectives of the JDP for 2012 were achieved. The organisation of mixed teams for port inspection should be promoted during next years.

#	Level 2	Score	Comment	#	Level 3	Score	Comment
1.1	Presence of an EU-inspection vessel during the sea campaign in the NAFO C.A. during the period July to November 2011 for 145 days.	1.00	There were no deviations from the schedule agreed in the JDP.	1.1.1	Analysis patrol days	145	All campaigns were conducted in accordance with the JDP objectives.
1.2	Employment of 7 joint teams during the sea campaigns in NAFO RA and mixed teams	1.00	Joint teams were deployed according to	1.2.1	Analysis joint teams employed	7	Number of different joint teams deployed.

#	Level 2	Score	Comment	#	Level 3	Score	Comment
	for landing inspections in EU ports.		schedule agreed in JDP; No mixed team was employed.	1.2.2	Analysis mixed teams employed	3	Number of different mixed teams deployed.
1.3	To conduct inspections at sea in order to assess compliance by EU and other Contracting Parties vessels fishing in the NAFO Regulatory Area with requirements of NAFO Control and Enforcement Measures and by EU fishing vessels for compliance with any other EU conservation and control measure applying to those vessels.	1.00	For EU vessels, both NAFO and EU measures apply while fishing in the NAFO area, for other CPs' vessels, only NAFO rules are applicable.	1.3.1	Analysis at sea inspections	44	Number of inspections conducted during sea-campaigns in 2012, includes both EU and other CP vessels fishing in the NAFO RA.

### 3.2. Generic Objectives

#	Indicator	Score	Comments
2	Generic objectives		Good level except the evaluation of costs.

#	Level 2	Score	Comment	#	Level 3	Score	Comment
2.1	Coordination and targets achieved		Joint operations were carried out as planned in the joint campaign schedule for 2012.	2.1.1	Coordination and cooperation achieved	Yes	All sea campaigns were coordinated by EFCA coordinators.
				2.1.2	Different MS involved	Yes	In total 8 different MS participated.
2.2	Information exchange developed		Information exchange is well developed for NAFO sea-campaigns.	2.2.1	VMS information exchanged	Yes	VMS data was received by EFCA and forwarded to FPV regularly.
				2.2.2	Inspection activity exchanged	Yes	Regular exchange of information between inspectors in the NAFO RA, EFCA, DG MARE, other CPs inspectors and NAFO Secretariat.
				2.2.3	Aerial sightings exchanged	NA	No aerial surveillance foreseen in JDP for NAFO RA.
2.3	Risk-based coordination and inspection		Risks specified for the JDP were used for coordination and inspections	2.3.1	Risk analysis developed	Yes	Areas and periods of main fisheries identified and considered in campaigns schedule.

				2.3.2	MS providing target lists	Yes	Specific objectives were proposed by EFCA for certain areas and fisheries.
				2.3.3	Identified targets inspected	Yes	Patrols and inspections were conducted on vessels fishing in the target areas and periods.
2.4	Cross-border inspection conducted		All sea inspections were conducted by teams of inspectors from at least 2 different MS.	2.4.1	Joint teams deployed at sea	Yes	Joint teams were deployed during all sea campaigns. 1 CAN inspector participated in one sea-campaign and also participated in boardings.
				2.4.2	Mixed teams deployed in port	No	No mixed team deployed.
				2.4.3	Union inspectors deployed	Yes	MS deployed NAFO inspectors.
2.5	Level playing field promoted		Joint inspection teams deployed, continuous training and exchange of operational information contributed greatly to the concept of the level playing field.	2.5.1	Exchange of inspectors	Yes	See comment for 2.4.
				2.5.2	Harmonisation of inspection procedures	Yes	Annual training of MS NAFO inspectors, briefings/debriefings before and after each mission and inspection.
				2.5.3	Exchange of timely intelligence between MS	Yes	Intelligence was exchanged mainly with other CPs (CAN) patrolling in NAFO RA.
2.6	Cost-effectiveness promoted		No methodology has yet been developed in order to confirm that the concept of cost-effectiveness was promoted.	2.6.1	Total cost of control activity means estimated	No	System needs to be developed for future estimation.
				2.6.2	Permanent exchange of information achieved	Yes	Permanent exchange of information with MS, EC, other NAFO CPs and NAFO secretariat.
				2.6.3	Flexibility of operations achieved	No	Principally, MS are not able to change schedule set in the JDP for their FPVs.
				2.6.4	Mutual assistance provided	NA	

## 3.3. Indicators of Task

#	Indicator	Score	Comments
3	Total Control task committed	1	

	Level 2	Score	Comment		Level 3	Score	Comment
3.1	At-sea patrol tasks committed	1	Tasks committed in accordance to the accordance of JDP.	3.1.1	Number of joint teams in patrol vessels committed	7	Number of different joint teams deployed.
				3.1.2	Number patrol time units committed	145	Number of patrol days in the NAFO RA.
3.2	Aerial actions committed	N/A	No aerial surveillance planned for NAFO RA	3.2.1	Number aircraft committed	N/A	No aerial means committed
				3.2.2	Number air surveillance units committed	N/A	No aerial means committed
3.3	Port inspections activity committed	-	No benchmarks were set in JDP regarding to the number of port inspectors and/or time commitment, however the necessity of conducting port inspections by mixed teams coordinated by EFCA was pointed out by both SG and TJDG.	3.3.1	Number port/shore-based units committed	-	As participation of MS on voluntary bases, no targets set in the JDP.
				3.3.2	Number port inspections time units committed	-	As participation of MS on voluntary bases, no targets set in the JDP.
3.4	Other activity committed	1		3.4.1	Vessel monitoring coverage committed	98%	The information was received by EFCA with a few interruptions because of the breakdown of the national FMCs.
				3.4.2	Number of time units for transport inspections committed	N/A	

## 3.4. Indicators of Activity

#	Indicator	Score	Comments
4	Total Control activity	1	

	Level 2	Score	Comment		Level 3	Score	Comment
4.1	At Sea Patrol Actions	1		4.1.1	Number of joint teams in patrol vessels committed	7	Number of different joint teams employed.
				4.1.2	Number Patrol time units provided	147	Total number of patrol days at sea.
				4.1.3	Number of sightings	106	Total number of sightings of fishing vessels (both EU and other CP) during sea-campaign.
				4.1.4	Number of inspections	44	Total number of sea-inspections on both EU and other CP vessels.
				4.1.5	Number of infringements	2	Total number of inspections during which at least 1 infringement detected on both EU and other CP vessels during sea campaigns.
4.2	Aerial surveillance conducted	N/A	No aerial surveillance planned in NAFO RA.	4.2.1	Number Aircraft provided	N/A	No aerial means committed
				4.2.2	Number air surveillance activity units	N/A	No aerial means committed
				4.2.3	Number of aerial sightings	N/A	No aerial means committed
4.3	Port inspections conducted			4.3.1	Number port/shore-based units provided	15	Total number of inspectors (flag + port MS) participating in the mixed team inspection.
				4.3.2	Number port time units	11	Days of inspection.
				4.3.3	Number port inspections conducted	3	
				4.3.4	Number of infringements detected during port inspections	1	
4.4	Other activity conducted	1		4.4.1	Vessel monitoring coverage	98%	
				4.4.2	Number transport inspections time units provided	N/A	
				4.4.3	Number of infringement detected via VMS	N/A	
				4.4.4	Number of infringement detected via transport inspections	N/A	

## 3.5. Indicators of Analysis

#	Indicator	Score	Comments				
5	Analysis control task	0.99	The control activities have met the required levels				
	Level 2	Score	Comment		Level 3	Score	Comment
5.1	Analysis of at Sea Patrol Activity vs Tasks	1	Benchmarks set in the JDP were achieved.	5.1.1	Analysis joint teams in Patrol Vessels provided vs committed	1	All PVs and joint teams committed were provided.
				5.1.2	Analysis Patrol time units provided vs committed	1	All time committed was provided.
				5.1.3	At sea infringement rate	0.05	
				5.1.4	Proportion of inspections at sea on non-target vessels resulting in one or more infringements	1	All vessels operating in NAFO RA and inspected at sea were in the target list.
				5.1.5	Proportion of inspections at sea on target vessels resulting in one or more infringements	1	All vessels operating in NAFO RA and inspected at sea were in the target list.
5.2	Analysis Aerial actions committed	N/A	No aerial surveillance planned in NAFO RA	5.2.1	Analysis Aircraft number provided vs committed	N/A	No aerial means committed.
				5.2.2	Analysis air surveillance units provided vs committed	N/A	No aerial means committed.
				5.2.3	Rate of Aerial sightings	N/A	No aerial means committed.
5.3	Analysis Port inspections committed	-	No benchmarks were set in JDP regarding to the number of port inspectors and/or time commitment, however the necessity of conducting port inspections by mixed teams coordinated by EFCA was pointed out by both SG and TJDG.	5.3.1	Analysis port/shore-based units provided vs committed	15	Total number of inspectors (flag + port MS) participating in the mixed team inspection.
				5.3.2	Analysis port time units provided vs committed	11	Days of inspection.
				5.3.3	Port based infringement rate	0.3	-
				5.3.4	Proportion of inspections in port on target vessels resulting in one or more infringements	1	-
				5.3.5	Proportion of inspections in port on non target vessels resulting in one or more infringements	1	-
5.4	Analysis Other activity committed	1		5.4.1	Analysis vessel monitoring coverage	0.98	
				5.4.2	Analysis transport inspection time units provided vs committed	N/A	

### 3.6. Indicator of Risk to Compliance

#	Indicator	Score	Comments
6	<b>Risk to Compliance</b> – “An assessment of the risk to compliance in the next assessment period based on current compliance and anticipated changes to the fishery”		Mis-recording and mis-reporting of catches remains the main risk to the compliance in NAFO.

#	Indicator	Score	Comments
6.1	Excess of by-catch of regulated species.	M	By-catch rate for some regulated species (YEL, PLA, WIT, COD) is continually high in some Divisions (mainly 3N).
6.2	Mis-recording of catches of groundfish species.	M	Special attention shall be paid to GHF and COD (3M) catches.
6.3	Failure to meet the requirements of hail reporting system.	M	Attention should be paid to the frequency and format of the hail messages forwarded by the fishing vessels in NAFO RA.

### 3.7. Indicator of Risk to Stock Status

#	Indicator	Score	Comments
7	<b>Risk to Stock Status</b> –		

#	Indicator	Score	Comments
7.1	Greenland halibut in Sub-area 2 and Divisions 3KLMNO		Biomass increased over 2004-2008 with decreases in fishing mortality. However, it has shown decreases over 2008-2010, as weaker year-classes have recruited to the biomass. The 10+ biomass peaked in 1991 and although it remains well below that peak, it has tripled over 2006-2010. Average fishing mortality (over ages 5-10) has been decreasing since 2003. The 2010 estimate of fishing mortality has increased due to higher catches coupled with the poor recruitment to the exploitable biomass. Year-classes about to recruit to the exploitable biomass are well below average strength.
7.2	American plaice in Division 3M		SSB is at a very low level, due to consistent year-to-year recruitment failure from the 1991 to 2005 year classes. Stock biomass increased in recent years due to the improved recruitment since 2006 (mainly due to the 2006 year class). Recent <i>F</i> is at a very low level. This stock continues to be in a very poor condition. Recruitment improved recently and these year classes will be recruiting to SSB over the next few years. Although the level of catches since 1996 is low, all the analysis indicates that this stock is kept at a very low level.
7.3	American plaice in Divisions 3LNO		<i>Biomass:</i> Despite the increase in biomass since 1995, the biomass is very low compared to historic levels. SSB declined to the lowest estimated level in 1994 and 1995. SSB has been increasing since then and at the start of 2011 was 34, 000 t. <i>Blim</i> for this stock is 50 000 t. <i>Recruitment:</i> Estimated recruitment at age 5 indicates

#	Indicator	Score	Comments
			<p>that the 2003 year class is comparable to the 1987-1990 year classes but well below the long-term average.</p> <p><i>Fishing mortality:</i> Fishing mortality on ages 9 to 14 has generally declined since 2001.</p> <p><i>State of the Stock:</i> During the previous assessment in 2011, Scientific Council concluded that: the stock remains low compared to historic levels and, although SSB is increasing, it is still estimated to be below <i>Blim</i>. Estimated recruitment at age 5 indicates that the 2003 year class is comparable to the 1987-1990 year classes but well below the long-term average. The 2012 assessment does not indicate a change in the status of the stock, based on last year's analytical model and the 2011 survey results.</p>
7.4	Yellowtail flounder in Divisions 3LNO		<p>Biomass estimates in all surveys have been relatively high since 2000. Relative biomass from the production model has been increasing since 1994, is estimated to be above the level of <i>Bmsy</i> after 1999, and is 1.7 times <i>Bmsy</i> in 2011. From 2007-2010 fishing mortality averaged about 25% of <i>Fmsy</i>. Based on a comparison of small fish (&lt;22 cm) in research surveys, recent recruitment appears to be about average. The stock is above <i>Bmsy</i> and <i>F</i> is less than 1/3 <i>Fmsy</i>. Stock size has steadily increased since 1994 and is currently estimated to be 1.7 times <i>Bmsy</i>.</p>
7.5	Cod in Division 3M		<p><i>Total Biomass and Abundance:</i> Estimated total biomass and abundance show an increasing trend since the mid 2000s. Both values are this year around the level of the early 90s.</p> <p><i>SSB:</i> Estimated median SSB has increased since 2005 to the highest value of the time series and is now well above <i>Blim</i> (14 000 t). The big increase in the last 3 years is largely due to six abundant year classes, those of 2005-2010, and to their early maturity.</p> <p><i>Fishing mortality:</i> <i>F</i> increased in 2010 and 2011 with the opening of the fishery. <i>Fbar</i> in 2011 (0.339) was more than twice <i>Fmax</i> (0.135).</p> <p><i>Recruitment:</i> After a series of recruitment failures between 1996 and 2004, recruitment at age 1 values in 2005-2011 are higher, especially the 2010 and 2011 values. There is a high uncertainty associated with those last values.</p>
7.6	Cod in Divisions 3NO		<p>The most recent analytical assessment (2010) concluded that SSB was well below <i>Blim</i> (60 000 t) in 2009. Overall, the 2011 surveys indices are not considered to indicate a significant change in the status of the stock.</p>
7.7	Redfish in Division 3M		<p>Biomass experienced a steep decline from the 1989 until 1996. The exploitable stock was kept at a low level until the early 2000's, basically dependent on the survival and growth of the existing cohorts. Above average year classes coupled with high survival rates allowed a rapid growth of biomass and abundance since 2003 and sustained the stock at a high level on 2007-2008. However the stock decreased on the last couple of years for causes other than fishing and, despite the stock size being still above average level, there are no signs that the present decline rate is slowing down. The continuous increase of SSB observed since 2000 was halted at 2008. Female spawning biomass drop from 2009 to 2010, but is still</p>

#	Indicator	Score	Comments
			well above average. A marginal increase is expected in 2011 due to the individual growth of the female survivors from the abundant 2000-2002 year classes, now dominating the spawning biomass.
7.8	Redfish in Divisions 3LN		<i>Fishing Mortality:</i> Fishing mortality has been low since 1995. <i>Biomass:</i> Relative biomass was close to <i>Bmsy</i> for most years up to 1987. Biomass decreased from 1987 to a minimum in 1994. During the moratorium years biomass increased and is now above <i>Bmsy</i> .
7.9	Redfish in Division 3O		Catches were stable from 2009 to 2011 while survey indices have increased. Overall, this indicates improvement in the status of the stock that will be evaluated in detail at the next assessment.
7.10	Thorny skates in Divisions 3LNO		<i>Fishing Mortality:</i> A fishing mortality index has been low since 2005.
7.11	Witch flounder in Divisions 2J3KL		Recruitment was above the 1996-2009 average from 2000-2002. There has been an increase in the survey biomass index since 2003. Nevertheless, the overall stock remains at a very low level.
7.12	Witch flounder in Divisions 3NO		Catch/biomass ratio remains relatively low, increasing slightly in recent years with the increased catch.
7.13	Shrimp in Division 3M		<i>Recruitment:</i> All year-classes after the 2002 cohort (i.e. age 2 in 2004) have been weak. <i>SSB:</i> The survey female biomass index was at a high level from 1998 to 2007, and has declined to its lowest level in 2012, well below <i>Blim</i> . <i>State of the Stock:</i> The low values of the Total and Female biomass indexes in 2009 continued in 2010 and well below the <i>Blim</i> proxy in 2011 and 2012, confirming the strong decrease of this stock caused by the weak recruitments in the last eight years and the increase of cod stock, one of their most important predators.
7.14	Shrimp in Divisions 3LNO		<i>Biomass.</i> Spring and autumn biomass indices generally increased, to record levels by 2007, but decreased substantially by 2010 and remained near that level in 2011. The spring biomass indices remained at a low level in 2012. <i>State of the Stock.</i> The predicted decline in the 2011 autumn survey biomass did not occur. However, the decreased levels of biomass in the Canadian survey series since 2007 are a reason for concern. The biomass is likely to be above <i>Blim</i> .
7.15	White hake in Divisions 3NO		The biomass increased in 2000 with the large 1999 year-class. Subsequently, the biomass index has decreased and remains at levels comparable to the period 1996-1999.

#### 4. Campaign Activity Statistics

The following tables detail particular indicators of control activity used to describe JDP activities within the assessment period. The indicators have been broken down by campaign, area and port as described.

**Table 1 JDP Statistics**

Indicator		Campaign
Days of activity		147
Sightings	Aerial	-
	At-sea	106
Total Sightings		106
Inspections	Shore based	3
	At-sea	44
Total inspections		47
Infringements	Shore based	1
	At-sea	2
Total infringements		3
Ratio of infringements per inspection	Shore based	0,3
	At-sea	0,05

**Table 2 Sea Patrols and Member State Inspectors Deployed**

Patrol	Period	Vessels	Inspectors
1	30/01-20/02	chartered, Tyr	1 EE + 1 FR
2	21/02-11/03	chartered, Tyr	1 ES + 1 LT + 1 CAN
3	12/03-01/04	chartered, Tyr	1 PT + 1 UK
4	12/06-22/06	German, Seeadler	1 DE + 1 ES
5	01/08-31/08	Portuguese, Antonio Enes	1 PT + 1 ES
6	01/09-21/09	Spanish, Alboran	1 ES + 1 LV
7	22/09-12/10	Spanish, Alboran	1 ES + 1 EE

**Table 3 Summary of Inspections by Inspected Flag State (sea + port inspections)**

DETAILED SUMMARY OF INSPECTIONS PER FLAG STATE	Number of Inspections	Inspections in which one or more infringements were detected
ESP	17	1
PRT	20	1
EST	3	-
LTU	2	-
FRO	2	1
RUS	2	-
NOR	1	-
TOTAL	47	3

**Table 4** Infringement Citations by Typology (*sea + port inspections*)

Typology of Infringement	No. of Citations	Comments
Labelling	1	
Vessel Requirements	1	
Undersized fish	1	
	<b>3</b>	(Absolute infringement rate = 6%)

**Table 5** Historical data on inspection activities in NAFO RA (by EU)

	2007	2008	2009	2010	2011	2012
Number of inspections	112	71	74	57	33	47
Number of infringements	6	1	5	1	2	3
Ratio of infringements per inspection	0.05	0.01	0.07	0.04	0.06	0.06

### General Comments

The European Union fleet has been the biggest player in NAFO fisheries for many years.

The presence of EU fishing vessels in NAFO RA has increased since 2009 after a drastic decline in 2008: in 2007 the number of EU fishing vessels operating in the NAFO RA was over 15 during 141 days; in 2008 for 39 days, in 2009 for 35 days, in 2010 for 61 days, in 2011 for 123 days, however in 2012 presence decreased in comparison with 2011 and number of EU fishing vessels operating in the NAFO RA was over 15 during 14 days.

The main species targeted in the area are Greenland halibut in Divisions 3LMN, redfish in Divisions 3LMNO, cod in Division 3M, skates in Division 3N and shrimp in Division 3L.

With an average of 6 sea inspections per leg the overall result of the inspection activity during the 2012 in NAFO RA adds up to 44 sea inspections. One apparent infringement on violation of requirements for documentation on board (updating capacity plan) and one apparent infringement on labelling provisions were detected by the inspection teams in 2012.

## 5. Analysis

- 5.1. **NAFO training:** During 2012, three days training took place in Lisbon, Portugal, with the presence of 33 NAFO inspectors from 9 Member States. The feedback received on the quality of this Seminar from the participants was good.

5.2. **Fishing Fleets and Patterns:** In NAFO Regulatory Area, the main fisheries are the following ones:

- Demersal trawl for bottom species, being GHL, COD, RED, SKA and PRA, the most important resources in NAFO RA.
- Pelagic trawl possible to use in RED fishery in Divisions 1F and 3O respectively.

The JDP cover the fisheries in the NAFO Regulatory Area the main activity which takes place in the divisions 3LMNO. As the FOR objected the recommendation and establish own TAC for pelagic RED in Division 1F during 2012; for this reason some FOR fishing vessels operated in 1F.

The number of EU fishing vessels in NAFO Regulatory Area in 2012 was 31 being 14 ESP, 11 PRT, 2 EST, 2 LTU, 1 LVA and 1 GBR.

From other CP were also present fishing vessels from FOR, FRO, CAN, NOR and for the first time one vessel from USA.

**5.3 JDP Implementation:** The implementation and management of the JDP is carried out by two specialist groups from the participating member States, assisted by staff from the European Fisheries Control Agency (EFCA). These are termed the 'Steering Group' and the 'Technical Joint Deployment Group' (TJDG).

**5.3.1 Steering Group:** This group is established by virtue of Article 5 of the JDP and is composed of experts from the Member States involved in the management of the fisheries covered by the JDP, with a representative from the European Commission and assistance from the EFCA. The Steering Group has as its principle mandate the overall coordination of the JDP, the evaluation of the implementation of the JDP and the delivery of a mandate to the TJDG. The Steering Group convened three meetings during 2012, for planning and coordination purposes.

**5.3.2 Technical Joint Deployment Group:** This group is established by virtue of Article 6 of the JDP. The TJDG is composed of coordinators from the EFCA and participating member State competent authorities. As the name suggests, this group deals with the more technical day-to-day aspects of the JDP concerning the deployment of human and technical means into the fisheries, and the monitoring of those means as appropriate. During 2012, the TJDG formally met on only one occasion, but the normal working methodology is the maintenance of day-to-day contact with the members of the group; to ensure that monitoring, Control and Surveillance (MCS) efforts are undertaken in a highly effective manner and that all procedural and reporting obligations are met.

**5.3.3 Overall JDP Evaluation:** In terms of benchmarking, the planning for NAFO is done simply on the

basis of committed days. Some Member States are able to commit surface vessels with inspectors; other Member States have no technical means but may commit inspectors to the JDP.

For NAFO in 2012, 145 days were committed. The data presented in the foregoing tables indicate that this commitment was met.

Some Member States commit on the basis of days in the NAFO Regulatory Area, and some Member States commit surface vessels for a fixed number of days 'port to port'.

**5.3.4 Compliance:** Given the numbers of vessels participating in the NAFO fisheries, compliance – viewed in perspective – should be considered to be good.

**5.3.4.1 Infringement typology:** The 3 infringements noted from the 47 inspections carried out during 2012 at sea and in ports, one related with vessel's documentation requirement (not updated capacity plan), another with labelling requirements and another related to undersized fish.

**5.3.4.2 Risk Analysis:** On the basis of experience during 2012 certain risk factors can be identified which will aid planning for 2013. These are summarized in the table below.

**Table** Risks to be addressed during 2013 JDP planning and implementation

Risk Level	
High	Medium
	Under recording (GHL, RED, COD, YEL )
	Over recording (SKA, HKW, RHG)
	Exceed of the by-catch limitation for species under moratorium (PLA and COD)
	Labelling

## 6. Conclusions and Recommendations

On balance, the implementation of the 2012 NAFO JDP should be considered as positive except the organization of inspections by mixed teams in MS ports. The committed days were delivered, a deterrent FPV presence was maintained in the fisheries and adequate MCS tasks were carried out.

From this evaluation, several recommendations emerge for consideration by the Steering Group.

- i) Enter into broader discussion with a view to developing a strategy on NAFO (mixed team) landing inspections;
- ii) Commence work on the development of a draft methodology to assess cost-effectiveness;
- iii) Undertake a detailed planning for 2013 in accordance with the identified risks. Mandate the TJDG as appropriate in this regard;
- iv) Discuss risk management responsibilities and subsequent data needs.

### 3. Assessment report of NEAFC

<b>JDP:</b>	NAFO / NEAFC (merged) - <b>NEAFC</b> Assessment
<b>Reporting Period:</b>	01.01.2012 – 31.12.2012
<b>Participating Member States:</b>	DE, DK, EE, ES, FR, IE, LT, LV, NL, PL, PT, SE, UK
<b>Areas:</b>	NEAFC RA

#### 1. Legal Basis

The EU legal basis for this JDP is defined in the following regulation(s):

<b>EU Regulations:</b>	<p>Council Regulation (EC) No 768/2005 establishing a Community (European) Fisheries Control Agency, in particular Chapter III thereof.</p> <p>Article 120 of Council Regulation (EC) No 1224/2009 establishing a community control system and amending Council Regulation (EC) No 768/2005.</p> <p>Commission Implementing Regulation (EU) No. 404/2011 laying down detailed rules for the implementation of Council Regulation (EC) No 1224/2009.</p>
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#### 2. Strategy and Objectives:

<b>General Objective</b>	To ensure operational coordination of joint MCS activities by Denmark, Estonia, France, Germany, Ireland, Latvia, Lithuania, the Netherlands, Poland, Portugal, Spain, Sweden and the United Kingdom facilitated by the EFCA in order to fulfil the obligations of the European Union under the NEAFC Scheme transposed into Regulation (EU) No 1236/2010 of the European Parliament of the Council and Commission Implementing Regulation (EU) No 433/2012.
<b>Strategy:</b>	Inspection activities in NEAFC Regulatory Area taking into account the risk analysis based on information available for fishing activities in the NEAFC Regulatory Area in order to define the specific objectives of the planned Monitoring, Control and Surveillance (MCS) activities.
<b>Risks:</b>	<p>The following main risks were identified for the JDP and objectives developed in order to meet the requirements of the legal bases.</p> <p>Misrecording of catches</p> <p>IUU fisheries</p> <p>Misreporting of catches</p>
<b>Planned Objectives:</b>	<p>Presence of an EU-inspection vessel or aircraft during the sea campaigns in the NEAFC RA for 189 planned days.</p> <p>Deployment of 7 joint teams during the 2012 sea campaigns in the NEAFC RA.</p> <p>To conduct inspections at sea in order to assess compliance by vessels fishing in the NEAFC Regulatory Area with the requirements of the NEAFC Scheme of Control and Enforcement and other associated NEAFC management measures and by EU fishing vessels for compliance with any other European Union conservation and control measure applying to those vessels.</p>

<b>Generic Objectives</b>	Coordination and cooperation achieved
	Information exchange developed
	Risk-based inspection conducted
	Cross-border inspection conducted
	Level playing field promoted
	Cost effectiveness promoted

### 3. Assessment of JDP:

#### 3.1 General and Specific Objectives

#	Indicator	Score	Comments
1	To ensure operational coordination of joint control, inspection and surveillance activities by Denmark, Estonia, France, Germany, Ireland, Latvia, Lithuania, the Netherlands, Poland, Portugal, Spain, Sweden and the United Kingdom; facilitated by the EFCA in order to fulfil the obligations of the European Union under the NEAFC Scheme as implemented by European Parliament and Council Regulation (EU) No 1236/2010 and Commission Implementing Regulation (EU) No 433/2012 and in accordance with Article 5 of Council Regulation (EC) No 1224/2009		All objectives of the JDP for 2012 were fully achieved.

#	Level 2	Score	Comment	#	Level 3	Score	Comment
1.1	Presence of an EU-inspection vessel or aircraft during the sea campaigns in the NEAFC RA for 189 planned days.	1.00		1.1.1	Analysis of patrol days	189	Planned sea days plus planned flights.
1.2	Deployment of 7 joint teams during the sea patrols in the NEAFC RA.	1.00	Joint teams were deployed according to schedule agreed in JDP.	1.2.1	Analysis of joint teams deployed on sea patrols	7	One MS NEAFC inspector of the flag of the patrol vessel and one MS guest inspector. In 4 of the 7 seagoing patrols, a coordinator from EFCA was also present to deliver support and technical assistance as provided for in Article 16.2 and Annex II(II) of the JDP.

#	Level 2	Score	Comment	#	Level 3	Score	Comment
1.3	To conduct inspections at sea in order to assess compliance by vessels fishing in the NEAFC Regulatory Area with requirements of NEAFC Scheme of Control and Enforcement and other NEAFC Recommendations and by EU fishing vessels for compliance with any other applicable Union measures applying to those vessels.  <i>NB: At-sea inspections were NOT benchmarked in the planning for 2012.</i>	1.00	For EU vessels, both NEAFC and EU measures apply while fishing in the NEAFC area, for other CPs' vessels, only NEAFC rules are applicable.	1.3.1	Analysis of at-sea inspections	99	Number of inspections conducted during sea-campaigns during 2012, includes both EU and other CP vessels fishing in the NEAFC RA.

### 3.2 Generic Objectives

#	Indicator	Score	Comments
2	Generic objectives		Objectives met to a high level except the evaluation of costs.

#	Level 2	Score	Comment	#	Level 3	Score	Comment
2.1	Coordination and cooperation achieved		Joint operations were carried out as planned in the joint campaign schedule for 2012.	2.1.1	Coordination and cooperation achieved	Yes	57% of the sea campaigns were directly assisted by embarked EFCA coordinators.
				2.1.2	Different MS involved	Yes	In total, 13 different MS and the EFCA participated.
2.2	Information exchange developed		Information exchange has been promoted for NEAFC sea-campaigns	2.2.1	VMS information exchanged	Yes	VMS data has been received by MS having inspection vessel in area during sea campaigns and the EFCA.
				2.2.2	Inspection activity exchanged	Yes	Regular exchange of information between inspectors in the NEAFC RA, MS FMCs, EFCA, DG MARE, other CPs inspectors and NEAFC Secretariat.

				2.2.3	Aerial sightings exchanged	Yes	Information on aerial sightings transmitted to all FPVs involved in sea campaigns.
2.3	Risk-based coordination and inspection		Risks specified for the JDP were used for coordination and inspections, however specification of target lists shall be promoted for next years	2.3.1	Risk analysis developed	Yes	However, it is necessary to have more data in order to develop risk analysis
				2.3.2	MS providing target list	Yes	Specific objectives were proposed to EFCA for certain areas and fisheries.
				2.3.3	Identified targets inspected	Yes	Patrols and inspections were conducted on vessels fishing in the target areas and periods.
2.4	Cross-border inspection conducted		All sea inspections were conducted by teams of inspectors from two different MS.	2.4.1	Joint teams deployed at sea	Yes	Joint teams were deployed during most sea campaigns. During 2 sea-campaigns, the joint teams consisted of only 1 MS inspector and an EFCA coordinator who acted as NEAFC inspector.
				2.4.2	Mixed teams deployed in port	NA	NC
				2.4.3	Union inspectors deployed	Yes	NEAFC inspectors deployed
2.5	Level playing field promoted		Joint inspection teams deployed, continuous training and exchange of operational information contributed greatly to the concept of the level playing field.	2.5.1	Exchange of inspectors	Yes	See comment for 2.4.
				2.5.2	Harmonisation of inspection procedures	Yes	Annual training, briefings / debriefings before and after each mission and inspection. In addition, a

							specific training was organised for Irish and UK NEAFC inspectors (which typically do not attend the annual trainings); delivered in Ireland by EFCA staff.
				2.5.3	Exchange of timely intelligence between MS	Yes	Intelligence was exchanged as it became available between MS as well as with other CP patrolling in the NEAFC RA.
2.6	Cost effectiveness promoted		No methodology has yet been developed in order to confirm that the concept of cost-effectiveness was promoted.	2.6.1	Total cost of control activity means estimated	No	System needs to be developed for future estimation
				2.6.2	Permanent exchange of information achieved	Yes	Permanent exchange of information during the campaigns was achieved between MS, EC and NEAFC.
				2.6.3	Flexibility of operations achieved	NA	
				2.6.4	Mutual assistance provided	NA	

### 3.3 Indicators of Task

#	Indicator	Score	Comments
3	Total Control task committed	1	

	Level 2	Score	Comment		Level 3	Score	Comment
3.1	At-sea patrol tasks committed	1	Tasks committed in accordance to the accordance of JDP.	3.1.1	Number of joint teams in patrol vessels committed	7	Number of different joint teams deployed.
				3.1.2	Number patrol time units committed	189	Number of patrol days in the NAFO RA.
3.2	Aerial actions committed	1	Benchmarks set in the JDP include sea campaigns	3.2.1	Number aircraft committed (UK, IE, SE)	3	For some MS sea days and air days are committed together as a block and used in

			days and days for aerial surveillance in the case of some MS				accordance with operational needs.
				3.2.2	Number air surveillance units committed	N/A	
3.3	Port inspections activity committed	-	N/A	3.3.1	Number port/shore-based units committed	-	
				3.3.2	Number port inspections time units committed	-	
3.4	Other activity committed	1		3.4.1	Vessel monitoring coverage committed	98%	The information was received by EFCA with a few interruptions because of the breakdown of the national FMCs.
				3.4.2	Number of time units for transport inspections committed	N/A	

### 3.4 Indicators of Activity

#	Indicator	Score	Comments
4	Total Control activity	1	Objectives met to a high level.

	Level 2	Score	Comment	Level 3	Score	Comment
4.1	At Sea Patrol Actions	1		4.1.1	Number of joint teams in patrol vessels committed	7 Number of joint teams from different MS deployed.
				4.1.2	Number Patrol time units provided	164 Number of patrol days at sea.
				4.1.3	Number of sightings	649 Total number of sightings of fishing vessels (both EU and other CP) during sea-campaigns.
				4.1.4	Number of inspections	99 Total number of sea-inspections on both EU and other CP vessels.
				4.1.5	Number of infringements	13 Total number of inspections in which one or more infringements were detected.
4.2	Aerial actions conducted	1		4.2.1	Number Aircraft provided	3 Total number of aircraft from different MS deployed.
				4.2.2	Number air surveillance activity units provided	55.75 hours (35 flights) Number of flight hours (number of flights).
				4.2.3	Number of Aerial sightings	82 Total number of fishing vessels (both EU and other CP) sighted during flights.
4.3	Port inspections conducted	N/A		4.3.1	Number port/shore-based units provided	N/A
				4.3.2	Number port time units provided	N/A
				4.3.3	Number port inspections conducted	N/A

				4.3.4	Number of infringements detected during port inspections	N/A	
4.4	Other activity conducted	0.9		4.4.1	Vessel monitoring coverage	0.90	Information was received by MS and EFCA during sea-campaigns. In the cases where there were failings, the causes were largely unspecified technical issues of unknown origin. The 10% failure rate is an arbitrary estimate.
				4.4.2	Number transport inspections time units provided	N/A	
				4.4.3	Number of infringement detected via VMS	N/A	
				4.4.4	Number of infringement detected via transport inspections	N/A	

### 3.5 Indicators of Analysis

#	Indicator	Score	Comments
5	Analysis of control activity	1.00	Objectives met to a high level.

	Level 2	Score	Comment		Level 3	Score	Comment
5.1	Analysis of at-sea patrol activity vs tasks	1.00	Any benchmark set in the JDP was achieved or exceeded	5.1.1	Analysis of joint teams in Patrol Vessels provided compared with committed	1	All FPVs and joint teams committed were provided.
				5.1.2	Analysis patrol time units provided compared with committed	1	All time committed was provided.
				5.1.3	At sea infringement rate	0.13	Does note take into account any multiple citations issued during the same inspection.
				5.1.4	Proportion of inspections at sea on non-target vessels resulting in one or more infringements	N/A	
				5.1.5	Proportion of inspections at sea on target vessels resulting in one or more infringements	NA	
				5.1.6	Proportion of infringements found at sea on non-targeted vessels	NA	
5.2	Analysis of aerial surveillance vs task	1	Any benchmark set in the JDP were achieved or exceeded	5.2.1	Analysis Aircraft of number provided compared with committed	1	
				5.2.2	Analysis air surveillance units provided compared with committed	1	No time targets were set in JDP for those MS who provided air surveillance.

5.3	Analysis of port inspections vs task	N/A	No land inspections were foreseen in the JDP	5.3.1	Analysis of port/shore-based units provided compared with committed	N/A	
				5.3.2	Analysis port time units provided compared with committed	N/A	
				5.3.3	Port based infringement rate	N/A	
				5.3.4	Proportion of inspections in port on target vessels resulting in one or more infringements	N/A	
				5.3.5	Proportion of inspections in port on non target vessels resulting in one or more infringements	N/A	
5.4	Analysis of other activity committed	0.9		5.4.1	Analysis vessel monitoring coverage	0.9	Information was received by MS and EFCA during campaigns.
				5.4.2	Analysis transport inspection time units provided vs committed	N/A	

### 3.6 Indicator of Risk to Compliance

#	Indicator	Score	Comments
6	<b>Risk to Compliance</b> – “An assessment of the risk to compliance in the next assessment period based on current compliance and anticipated changes to the fishery”	M	Mis-recording of catches remains the main risk to the compliance in NEAFC.  In the absence of other indicators, the risk should be considered medium.

#	Indicator	Score	Comments
6.1	Mis-recording of catches	M	Because of the continued decrease of some quotas, the risk of mis-recording of catches of regulated species may increase.
6.2	IUU fisheries	L	IUU fisheries has not been a problem in NEAFC RA in recent years but was a big issue in the past. Decreased inspection coverage at sea may stimulate a rise in IUU activity again.
6.3	Labelling of frozen fish	M	This continues to be a medium level risk.
6.4	NCP vessel activities	M	A medium level of risk is expected.

### 3.7 Indicator of Risk to Stock Status

#	Indicator	Score	Comments
7	<b>Risk to Stock Status</b> –		

#	Indicator	Score	Comments
7.1	Herring (Norwegian spring-spawning herring)		<ol style="list-style-type: none"> <li><b>Data Source:</b> www.ices.dk</li> <li><b>Date:</b> September 2012</li> <li><b>Stock Status – SSB:</b> Downward trend, though slightly above the 5 million tonne trigger in the management plan. <b>Recruitment:</b> Low; fishery still dominated by the large year classes of 2002-2004. Year classes 2005 onwards less than the time-series mean.</li> <li><b>Stock Forecasting:</b> With weaker year classes from 2005 onwards, SSB is expected to continue a declining trend in coming years.</li> <li><b>Implications for Management:</b> Landings during 2013 should not exceed 619 000 tonnes, a 26% TAC decrease on 2012 implied.</li> <li><b>Risks:</b> Slipping / highgrading and misreporting.</li> </ol>
7.2	Beaked redfish ( <i>Sebastes</i>		<ol style="list-style-type: none"> <li><b>Data Source:</b> www.ices.dk</li> </ol>

#	Indicator	Score	Comments
	<i>mentella</i> ) in Sub-areas V, XII, XIV and NAFO Sub-areas 1 + 2 (deep pelagic stock)		<p>2. <b>Date:</b> June 2012</p> <p>3. <b>Stock Status – SSB:</b> Unknown <b>Recruitment:</b> Unknown</p> <p>4. <b>Stock Forecasting:</b> Trawl survey estimates lower than the mean for the time-series 1999 – 2003. Decrease in landings since 2004 suggests stock decline.</p> <p>5. <b>Implications for Management:</b> Annual catches should be reduced to less than 20 000 tonnes, and a management plan developed and implemented.</p> <p>6. <b>Risks:</b> Species / quantity misreporting where quotas become restrictive.</p>
7.3	Beaked redfish ( <i>Sebastes mentella</i> ) in Sub-areas V, XII, XIV and NAFO Sub-areas 1 + 2 (shallow pelagic stock)		<p>1. <b>Data Source:</b> www.ices.dk</p> <p>2. <b>Date:</b> June 2012</p> <p>3. <b>Stock Status – SSB:</b> Unknown <b>Recruitment:</b> Unknown</p> <p>4. <b>Stock Forecasting:</b> Acoustic surveys indicate the stock at 5% of the historic levels (1990s). Assessments are data-poor, so the precautionary approach is advocated.</p> <p>5. <b>Implications for Management:</b> <u>No directed fishery</u> for this stock; bycatch to be kept as low as possible; a recovery plan should be developed.</p> <p>6. <b>Risks:</b> This stock could be targeted by vessels ostensibly targeting other species and also taken during hauling operations on the deep pelagic stock.</p>
7.4	Beaked redfish ( <i>Sebastes mentella</i> ) in Sub-areas I and II		<p>1. <b>Data Source:</b> www.ices.dk</p> <p>2. <b>Date:</b> June 2012</p> <p>3. <b>Stock Status – SSB:</b> Increased steadily from 1992-2005. Currently in decline; estimated at 750 000 tonnes for 2013. <b>Recruitment:</b> Poor year classes from 1996 – 2003 contribute to the downward trend in SSB.</p> <p>4. <b>Stock Forecasting:</b> New analytical assessments indicate increases in SSB in recent decades and numbers of juveniles in recent years. <math>F=0.065</math> should maintain SSB at current levels.</p> <p>5. <b>Implications for Management:</b> Total catch from Areas I and II should not exceed 47 000 tonnes in 2013.</p> <p>6. <b>Risks:</b> Given the substantial reversal of the scientific advice, no significant risks are foreseen; provided that the Olympic fishery is allocated sufficient quota.</p>
7.5	Haddock in Division VIb (Rockall)		<p>1. <b>Data Source:</b> www.ices.dk</p> <p>2. <b>Date:</b> June 2012</p> <p>3. <b>Stock Status – SSB:</b> Decreasing trend; <math>\pm</math> 5700 tonnes estimated for 2013 (<math>B_{lim} = 6000</math> tonnes) <b>Recruitment:</b> Has been weak since 2007.</p> <p>4. <b>Stock Forecasting:</b> SSB is expected to continue decreasing in coming years.</p> <p>5. <b>Implications for Management:</b> This is known to be a separate stock. There should be <u>no directed fishery</u> for this stock in 2013; discards and bycatch should be minimised. A management plan for this stock is under development.</p> <p>6. <b>Risks:</b> High risk of significant bycatch / discarding and species / area misreporting.</p>
7.6	Blue whiting in Sub-areas I-IX, XII and XIV		<p>1. <b>Data Source:</b> www.ices.dk</p> <p>2. <b>Date:</b> September 2012</p> <p>3. <b>Stock Status – SSB:</b> Has increased by one million tonnes (2012-2013). Currently 3.8 million tonnes. <b>Recruitment:</b> An increase in recruitment was observed for the last two years; absolute recruitment strength uncertain.</p> <p>4. <b>Stock Forecasting:</b> The management plan approach (<math>F = 0.18</math>) is expected to lead to further increases in SSB (5.67 million tonnes forecast for 2014).</p> <p>5. <b>Implications for Management:</b> Catches for 2013 should not exceed 643 000t.</p> <p>6. <b>Risks:</b> No significant compliance risks are foreseen with this fishery.</p>
7.7	Atlantic mackerel (combined Southern, Western and North Sea spawning components)		<p>1. <b>Data Source:</b> www.ices.dk</p> <p>2. <b>Date:</b> September 2012</p> <p>3. <b>Stock Status – SSB:</b> Estimated at 2.6 million tonnes in 2012. <b>Recruitment:</b> Stable – in the order of 4 billion individuals. 2005 and 2006 were the strongest year classes in the time series (1972 – 2008). Recruitment for the years 2009-2011 yet to be fully</p>

#	Indicator	Score	Comments
			<p>assessed.</p> <p><b>4. Stock Forecasting:</b> <math>F_{msy} = 0.22</math> should maintain SSB at current levels. Distribution of the stock has expanded with increased stock size and the effects of other oceanographic parameters.</p> <p><b>5. Implications for Management:</b> Catches in 2013 should be maintained between 497 000 and 542 000 tonnes (depending upon the managerial scenario). Since 2009, there has been no international agreement on the TAC for this stock.</p> <p><b>6. Risks:</b> Misreporting / slipping / highgrading.</p>
7.8	Deep-sea species	<div style="background-color: yellow; height: 100px; width: 100%;"></div> <div style="background-color: red; height: 100px; width: 100%;"></div> <div style="background-color: red; height: 100px; width: 100%;"></div> <div style="background-color: yellow; height: 100px; width: 100%;"></div> <div style="background-color: red; height: 100px; width: 100%;"></div> <div style="background-color: yellow; height: 100px; width: 100%;"></div>	<p>Brief advice summaries are provided for six of the nine deep sea species for which the International Council for the Exploration of the Sea (ICES) has provided advice in 2012. These are key species from the perspective of the JDP.</p> <p><b>Alfonsinos</b> (<i>Beryx</i> spp.); northeast Atlantic. For 2013, a 20% reduction in catches is recommended by ICES. No biomass or recruitment indicators have been derived. The recommended approach is precautionary. <u>Risk:</u> It is known that exploratory deepwater pelagic trawl fisheries have been undertaken in the western Atlantic for alfonsinos. This trend could spread to the eastern Atlantic in the face of quota reductions in other fisheries. There are also risks in terms of area misreporting.</p> <p><b>Black scabbards:</b> ICES have recommended no more than a 20% increase in catches for 2013 (TAC not more than 4700 tonnes). No biomass or recruitment indicators have been derived. Exploitation not considered detrimental to the stock. <u>Risk:</u> Misreporting of black scabbards as silver scabbards (both species have similar distributions) is suspected. It has been noted that when the quota uptake reaches high percentages, the prevalence in silver scabbard reporting may increase.</p> <p><b>Blue ling:</b> ICES recommends catches of not more than 3900 tonnes in 2013. No biomass or recruitment indicators have been derived. This species may be taken as bycatch or targeted in spawning aggregations. Spawning grounds on the east and northeast of Hatton bank remain open to fisheries. Spatial management to prevent targeted fishing on spawning aggregations should be expanded to cover spawning areas in Division VIb. <u>Risk:</u> Species misreporting where quotas may become restrictive.</p> <p><b>Ling:</b> ICES recommends a reduction in catches of 20%. No biomass or recruitment indicators have been derived. This species (a true gadoid) is thought to be less vulnerable to exploitation than other deep sea species. <u>Risk:</u> Species misreporting may occur in the face of restrictive quotas.</p> <p><b>Deep Sea Sharks:</b> There are seventeen species of deep sea sharks under management. ICES reports widespread data deficiency. All species are considered to be depleted. All are caught only as bycatch in trawl and longline fisheries. There is a prohibition on direct fishing for deep sea sharks (NEAFC Recommendation 07-2012). <u>Risk:</u> Significant quantities may be taken in the continental slope trawl fisheries.</p> <p><b>Roundnose Grenadier:</b> ICES recommends that catches do not exceed 6000 tonnes in 2013. Even though the harvest yield is below a target level, this species is long lived, slow growing and exhibits low productivity – all factors which increase vulnerability to fishing pressure. A further weakness in the assessment is a very short data time series. <u>Risk:</u> Species / area misreporting.</p>

#### 4. Campaign Activity Statistics

The following tables detail particular indicators of control activity used to describe JDP activities within the assessment period. The indicators have been broken down by campaign, area and port as described.

**Table 1 JDP Statistics**

Indicator		Campaign
Days of activity		189
Sightings	Aerial	82
	At-sea	567
Total Sightings		649
Inspections	Shore based	-
	At-sea	99
Total inspections		99
Inspections in which one or more infringements were noted	Shore based	-
	At-sea	13
Total infringement citations		18
Ratio of infringements to inspections	Shore based	-
	At-sea	18%

**Table 2 Sea Patrols and Member State Inspectors Deployed**

Patrol	Period	Vessels	Inspectors
1	02/05 – 20/05	FPV <i>Seeadler</i> (DE)	1 DE + 1 PL
2	21/05 – 10/06	FPV <i>Seeadler</i> (DE)	1 DE + 1 ES
3	25/05 - 14/06	FPV <i>Arnomendi</i> (ES)	1 ES + 1 EE
4	13/06 - 03/07	FPV <i>Malabar</i> (FR)	1 FR + 1 NL
5	15/06 - 03/07	FPV <i>Arnomendi</i> (ES)	1 ES + 1 PT
6	21/07 - 04/08	FPV <i>Vestkysten</i> (DK)	1 DK + 1 LV
7	09/08 - 31/08	FPV <i>Seefalke</i> (DE)	1 DE + 1 LT

**Table 3 Summary of Inspections by Inspected Flag State**

<b>DETAILED SUMMARY OF INSPECTIONS BY INSPECTED FLAG STATE</b>	<b>Number of Inspections</b>	<b>Inspections in which one or more infringements were detected</b>
ESP	12	2
PRT	5	-
LTU	3	1
DEU	5	1
LVA	3	-
POL	1	-
RUS	54	6
ISL	3	1
FRO	4	-
NOR	5	-
KNA	4	2
<b>TOTAL</b>	<b>99</b>	<b>13</b> (Relative infringement rate = 13%)

**Table 4 Infringement Citations by Typology**

<b>Typology of Infringement</b>	<b>No. of Citations<sup>16</sup></b>	<b>Comments</b>
Fishing in a Closed Area / Season	1	Serious Infringement – Art. 29j
Labelling	3	
VMS	2	See notes under next section
Communication of Catches	6	See notes under next section
Communication of Transhipments	2	See notes under next section
Vessel Requirements	2	
Authorisation to Fish	1	
Obligation of the vessel Master during Inspections	1	Serious Infringement – Art. 29i
	<b>18</b>	(Absolute infringement rate = 18%)

<sup>16</sup> The number of individual citations issued takes account of any multiple infringement citations which may have been issued during the same inspection.

**Table 5 Historical data on inspection activities in NEAFC RA (by EU)**

	2009	2010	2011	2012
Number of inspections	64	92	112	99
Number of infringements	3	20	14	13
Ratio of infringements per inspection	0.05	0.22	0.13	0.13

**Table 6 Summary of Inspections by Inspected Flag State made by other CP (for 2012)**

DETAILED SUMMARY OF INSPECTIONS BY INSPECTED FLAG STATE	Number of Inspections	Inspections in which one or more infringements were detected.
ESP	3	2
PRT	3	-
LTU	1	-
DEU	1	-
LVA	1	-
EST	2	-
GBR	1	-
RUS	21	-
ISL	1	-
FRO	4	-
NOR	7	-
TOTAL	45	2

## 5. Analysis

**5.1 NEAFC Training:** During 2012, a one day training seminar was delivered in Ireland during week 12 to personnel from the Irish Naval Services, the Sea Fisheries Protection Authority (SFPA, IE) and personnel from Marine Scotland. The traditional training course was delivered during week 13 to NEAFC inspectors in the EFCA premises in Vigo. All training events undertaken were received well by the participants.

For 2013, similar training events will be organised to be delivered to seagoing personnel from the Member States.

**5.2 Fishing Fleets and Patterns:** In NEAFC waters, there are clearly defined fisheries of interest to the JDP, pursued during different time periods by EU vessels and those from other Contracting Parties. These are as follows:

- Pelagic trawl fishery for deep pelagic redfish (REB, *Sebastes mentella*) in the Irminger Sea;
- Demersal trawl, longline and gillnet fisheries for deep sea species on the western European continental shelf;
- Pelagic trawl fishery for blue whiting (WHB) in waters west of Scotland and Ireland;
- Pelagic trawl fisheries for herring (HER), mackerel (MAC) and redfish (RED) in the Norwegian Sea.

In some fisheries, vessels from a cooperating Non-Contracting Party (cNCP) may be active in transshipping operations.

The JDP covers all of these fisheries during different periods of the year; both utilising surface means and air surveillance.

The numbers of vessels participating in these fisheries is variable; ranging from just a few vessels participating in the deep sea species fishery to over 40 vessels participating in the Irminger Sea redfish fishery at the peak season period.

**5.3 JDP Implementation:** The implementation and management of the JDP is carried out by two specialist groups from the participating member States, assisted by staff from the European Fisheries Control Agency (EFCA). These are termed the 'Steering Group' and the 'Technical Joint Deployment Group' (TJDG).

**5.3.1. Steering Group:** This group is established by virtue of Article 5 of the JDP and is composed of experts from the Member States involved in the management of the fisheries covered by the JDP, with a representative from the European Commission and assistance from the EFCA. The Steering Group has as its principle mandate the overall coordination of the JDP, the evaluation of the implementation of the JDP and the delivery of a mandate to the TJDG. The Steering Group convened three meetings during 2012, for planning and coordination purposes.

**5.3.2. Technical Joint Deployment Group:** This group is established by virtue of Article 6 of the JDP. The TJDG is composed of coordinators from the EFCA and participating member State competent authorities. As the name suggests, this group deals with the more technical

day-to-day aspects of the JDP concerning the deployment of human and technical means into the fisheries, and the monitoring of those means as appropriate. During 2012, the TJDG formally met on only one occasion, but the normal working methodology is the maintenance of day-to-day contact with the members of the group; to ensure that monitoring, Control and Surveillance (MCS) efforts are undertaken in a highly effective manner and that all procedural and reporting obligations are met.

**5.3.3. Overall JDP Evaluation:** In terms of benchmarking, the planning for NEAFC is done simply on the basis of committed days. Some member States are able to commit surface vessels with inspectors, others commit aircraft and inspectors and some member States have no technical means but may commit inspectors to the JDP. Most participating Member States commit on the basis of vessel days or flights. However two member States commit on the basis of a fixed number of days which they allocate to either surface vessels or aircraft as appropriate given the operational circumstances prevailing at the time of patrol planning.

For NEAFC in 2012, 189 days were committed. The data presented in the foregoing tables indicate that this commitment was met. From that perspective then the JDP may be considered to have met its overall deployment objective.

Some Member States commit on the basis of days in the NEAFC Regulatory Area, and some Member States commit surface vessels for a fixed number of days 'port to port'.

**5.3.4. Compliance:** Given the numbers of vessels participating in the NEAFC fisheries, compliance – viewed in perspective – should be considered to be good. The relatively high occurrence of one particular type of infringement noted during 2012 warrants further discussion.

**5.3.4.1. Infringement Typology:** Of the infringements noted during the 99 inspections carried out during 2012, 33% of them fall under the category 'Communication of Catches) – Article 12 of the NEAFC Scheme of Control and Enforcement.

The circumstances of these citations are rather specific. Prior to undertaking an inspection, part of standard inspection planning procedure is to check the Fisheries Protection Vessel (FPV) VMS system to see what mandatory messages related to the target fishing vessel are available to the inspectors aboard the FPV.

In cases where the mandatory catch messages are not available to the inspectors, there has existed two schools of thought as to how to proceed in such situations. Some inspectors felt that if, once on board the fishing vessel, the fishing vessel Master could demonstrate that the mandatory reports were sent from the vessel, no further action should be taken other than an observation to the effect being recorded on the inspection form.

Experience has shown that there are many technical reasons why messages sent from a fishing vessel do not reach the patrol vessel; none of which are the fault of the fishing vessel Master.

The other school of thought argued that the lack of availability of the mandatory information at the level of the FPV does indeed constitute an infringement; the same being considered serious by some experts as provided for in specific NEAFC management measures for redfish.

This difference of opinion has hitherto led to a lack of consistency in the manner in which this occurrence has been handled during inspections at sea.

This issue was discussed at length during the JDP Steering Group meeting of 07/11/2012, and agreement was reached that in cases where the mandatory catch reports are not available to inspectors aboard an FPV, then an infringement citation should indeed be issued to the vessel in question. The issue of infringement follow-up would of course as in all cases, fall to the fishing vessel flag State.

**5.3.4.2. Non Compliance Drivers:** Infringements noted in the NEAFC Regulatory Area are rarely serious, and generally result from:

- Being poorly informed by the flag State authorities regarding the applicable measures
- Having old or out of date copies of the regulations
- Having a laissez-faire attitude to certain administrative aspects of the measures
- The existence of conflicting flag State measures or interpretations of NEAFC measures

Quota restrictions may also trigger non compliance behaviour in terms of species or area misreporting.

**5.3.4.3. Risk Analysis:** On the basis of experience during 2012 and scientific advice for 2013, certain risk factors can be identified which will aid planning for 2013. These are summarised in the table below.

**Table 7** Fisheries related risks to be addressed during 2013 JDP planning and implementation

Risk Level <sup>17</sup>	
High	Medium
Beaked redfish, areas V, XII, XIV (shallow pelagic stock)	Misrecording / Misreporting
Haddock area VIb	Labelling
	NCP activities
alfonsinos	Beaked redfish, areas V, XII, XIV (deep pelagic stock)
black scabbard fish	
blue ling	
ling	
Deep sea sharks (17 spp.)	
Roundnose grenadier	Atlantic mackerel

Note should also be taken of the specific perceived risks in the stock assessment summaries in section 3.6 of this report.

## 6. Conclusions and Recommendations

On balance, the implementation of the 2012 NEAFC JDP should be considered a success. The committed days were delivered, a deterrent FPV presence was maintained in the fisheries and adequate MCS tasks were carried out.

From this evaluation, several recommendations emerge for consideration by the Steering Group.

- v) Discuss risk management responsibilities and subsequent data needs;
- vi) Commence work on the development of a draft methodology to assess cost-effectiveness;
- vii) Agree a common EU position for action to be taken in the event that fishing vessel VMS / report messages prove to be unavailable at the level of the FPV VMS systems (even if the fishing vessel Master demonstrates that transmission of the reports has been carried out in accordance with statutory requirements);
- viii) Undertake a detailed planning for 2013 in accordance with the identified risks. Mandate the TJDG as appropriate in this regard.

<sup>17</sup> For details of the specific risks identified at the species level, refer to the tables in section 3.6 of this draft assessment.

## 4. JDPs output and associated performance indicators

Table 1: WP 2012 general follow-up table (Amounts in €)

Activities Performed	JDP North Sea & Western Waters		Pelagic JDP Western waters		JDP Baltic Sea		JDP Bluefin tuna		JDP NAFO & NEAFC	
	Budget € 165.000	Staff: 1 AD + 1,5 AST + 1 SNE	Budget € 80.000	Staff: 0,5 AD + 1,5 AST	Budget: € 165.000	Staff: 0,5 AD + 3AST	Budget: € 165.000	Staff: 1 AD + 3 AST + 2 SNE	Budget: € 200.000	Staff: 1 AD + 3 AST
<b>Deliverables</b>										
<b>Meetings of the Steering Group and Technical Joint Deployment Group</b>	SG: 1. MAR 20 <sup>th</sup> , Vigo, ES 2. SEP 12 <sup>th</sup> , Vigo, ES 3. NOV 20 <sup>th</sup> -21 <sup>st</sup> , Gothenburg, SE  TJDG: 1. MAR 5 <sup>th</sup> Oostende, BE 2. MAY 23 <sup>rd</sup> -24 <sup>th</sup> , Utrecht, NL 3. SEP 9 <sup>th</sup> , Vigo, ES		1. MAR, 21 <sup>st</sup> , Vigo, ES 2. NOV, 8 <sup>th</sup> Lisbon, PT		1. MAR, 22 <sup>nd</sup> , Vigo, ES 2. SEP, 12 <sup>th</sup> , Vigo, ES		1. JAN, 25 <sup>th</sup> - 26 <sup>th</sup> , Limassol, CY 2. APR, 24 <sup>th</sup> , Vigo, ES 3. MAY, 30 <sup>th</sup> , Vigo, ES 4. JUN, 27 <sup>th</sup> , Vigo, ES 5. DEC, 11 <sup>th</sup> , Vigo, ES		1. Jan 12, Brussels, BE 2. Mar 19, Brussels, BE 3. June 20, Paris, FR 4. Nov 07, Lisbon, PT	
<b>Adoption of JDP for 2012 and 2013</b>	ED Decision No 2012/7 of 27/06/2012  ED Decision No 2012/29 of 18/12/2012		ED Decision No 2012/009 of 27/06/2012		E.D. Decision N° 2012/008 of 27/06/2012  ED Decision N° 2012/027 of 18/12/2012		ED Decision No 2011/007 of 18/04/2011 amended by ED Decision No 2012/002 of 04/04/2012		ED Decision No 2012/023 of 31/10/2012	

<b>Joint Campaigns</b>	11 campaigns according to the JDP decision, including 9 short-term campaigns and 2 long-term campaigns	Full year running campaign	9 campaigns according to the JDP decision	1 campaign according to JDP decision	NAFO	NEAFC
					7 campaigns according to the JDP decision	7 Campaigns according to the JDP decision
<b>Workshop for inspectors and CCiC experts</b>	1 annual training (2 days), Nantes, FR;  1 CCiC/ACC Seminar (2 days), Vigo, ES;	1 Annual training: Ijmuiden NL  1 CCiC/ACC Seminar (2 days), Vigo, ES;	Annual training: Helsinki FL  1 CCiC/ACC Seminar (2 days), Vigo, ES;	1 annual training (3 days) ,Paris, FR;  1 Annual Training Black Sea (Vigo)  4 national training;	1 training (3 days) Lisbon, PT	1 training (2 days) Vigo, ES  1 training (1 day) Cork, IE

Table 2: Performance indicators evaluation WP 2012

	Performance indicators					
	JDP North Sea & Western Waters	Pelagic JDP Western Waters	JDP Baltic Sea	JDP Bluefin tuna	JDP NAFO & NEAFC	
					NAFO	NEAFC
<b>1- Number of campaigns days at sea and ashore per JDP</b>	450 joint campaign days 517 days at sea (core FPV) + 358 days at sea (associated FPV)	365 joint campaign days 161 days at sea committed 118 days at sea executed (core FPV) + 515 days at sea (associated FPV) 466 days ashore committed 466 days ashore executed	132 joint campaign days 243 days at sea executed 286 days at sea committed 130 days ashore executed 130 days ashore committed	275 joint campaign days 165 days at sea committed 148 days at sea executed 157 days ashore committed 193 days ashore executed 194 flight hours committed 199 flight hours executed	145 planned (sea) 147 executed 11 days ashore (none planned)	Sea Days: 155 planned 164 executed Flights: 34 planned 35 executed
<b>2- % of campaign days and sea days carried out in accordance with the JDP schedule.</b>	100% of joint campaign days 90% of sea days (core FPV)	100% of joint campaign days 73 % of sea days (core FPV) 100% of ashore days	100% of joint campaign days 85 % of sea days 100 % of ashore days	100% of joint campaign days 90% of sea days 123% of ashore days 103% of flight hours	101% of sea days	106% of sea days 103% of flights
<b>3- Control and inspection means deployed in accordance with the JDP schedule (% of total planned)</b>	94%	100%	100 %	100%	100%	100%

<b>4- Number of sightings, inspections and apparent infringements detected during JDP.</b>	<p>3883 sightings (2138 sea; 1745 air)</p> <p>3646 inspections (1636 sea; 2007 ashore; 3 transport)</p> <p>214 vessels with at least 1 apparent infringement found (141 sea; 71 ashore: 2 air)</p> <p>232 apparent infringements reported (150 sea; 80 ashore; 2 air)</p>	<p>397 sightings (163 sea + 243)</p> <p>1809 inspections (290 sea + 1519 ashore)</p> <p>127 infringements (22 sea + 105 ashore)</p>	<p>1360 sightings (1034 sea+326 air)</p> <p>2828 inspections (608 sea + 2220 ashore)</p> <p>142 infringements (65 sea + 77 ashore)</p>	<p>622 sightings (157 sea + 465 ashore)</p> <p>611 inspections (302 sea + 309 ashore)</p> <p>37 apparent infringements (25 sea + 12 ashore)</p>	<p>106 sightings</p> <p>47 sea &amp; port inspections</p> <p>3 apparent infringements</p>	<p>649 sightings</p> <p>99 inspections</p> <p>13 apparent infringements</p>
<b>5- Ratios for sightings-inspection-apparent infringements/ per campaign day during JDP.</b>	<p>8,6 sightings/ day</p> <p>8,1 inspections/ day</p> <p>0,52 apparent infringements/ day</p> <p>0,06 apparent infringements/ inspection</p>	<p>1,1 sightings/ day</p> <p>5 inspections/ day</p> <p>0,35 apparent infringements/day</p> <p>0,07 apparent infringements/inspection</p>	<p>10,3 sightings/ day</p> <p>21,42 inspections/ day</p> <p>1,08 apparent infringements/day</p> <p>0,05 apparent infringements/inspection</p>	<p>2,26 sightings/day</p> <p>2,22 inspections/day</p> <p>0,13 apparent infringements/day</p> <p>0,06 apparent infringements/inspection</p>	<p>0,72 sightings/day</p> <p>0,3 inspections/day</p> <p>0,01 apparent infringements/day</p> <p>0,06 apparent infringements/insp ection</p>	<p>3,1 sighting / day</p> <p>0,6 inspection/day</p> <p>0,08 apparent infringements/day</p> <p>0.13 – apparent infringement/insp ection</p>
<b>6- Man/days in mixed and joint teams.</b>	<p>233 man-days</p>	<p>82 man days</p>	<p>304 man-days</p>	<p>336 man-days</p>	<p>316 man-days</p>	<p>270 man-days</p>
<b>7- % of main species landings (by weight) controlled during the JDP compared with total main species landings (by weight)</b>	<p>5,9%</p>	<p>n.a</p>	<p>n.a.</p>	<p>n.a.</p>	<p>n.a.</p>	<p>n.a</p>

<b>8- Ratios for targeted vessels-inspection-apparent infringements/ per campaign day.</b>	<u>Target vessels:</u>  Targeted sea inspections: 155  Targeted F/V with infringements found at sea: 17 (11%)  Targeted inspections at landing : 149  Targeted F/V with apparent infringements found ashore: 10 (6,7%)  <u>Non-target vessels</u>  Non-targeted sea inspections: 1481  F/V with apparent infringements found at sea: 121 (8,1%)  Non-targeted inspections ashore: 1858  F/V with apparent infringements found ashore: 60 (3,2%)	n.a.	n.a.	1,56 targeted vessels inspections/day  0,11 targeted vessels apparent infringements/day  0,07 targeted vessels apparent infringements/inspections	n.a.	n.a.
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<b>9- Satisfaction questionnaire standards completed by participants in the Joint Campaigns and the Training Seminar</b>	<b>CCiC/ACC Seminar:</b> 29% rated as “excellent”, 64% rated as “good”, 6% rated as adequate  <b>NS inspectors’ workshop:</b> 6% rated as “excellent”, 94% rated as “good”.	<p style="text-align: center;">n.a.</p>	20% of participants considered the Baltic training as excellent, 80 % as a good training.	34% of the participants considered the 2011 BFT training as an excellent training, 50 % as a good training and 16% as adequate	24% “excellent” satisfaction rating 69% “good” satisfaction rating 7% “adequate” satisfaction rating	45% “excellent” satisfaction rating 47% “good” satisfaction rating 8% “adequate” satisfaction rating
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\* Courses directed at training of trainers

## 5. Cooperation in Black Sea

In December 2011, the EFCA was requested to support the DG MARE in the preparation and implementation of the Bulgarian and Romanian 2012 National & Monitoring Control Plans for the turbot fishery.

The cooperation in 2012 between EFCA and the Member States of the Black Sea, Bulgaria and Romania focused mainly in three areas, the support for the formulation of the national control plans for turbot fisheries, a regional training for trainers and the participation of EFCA to the joint inspection activities which were undertaken for the first time in 2012.

### **National Control Plans for Turbot Fisheries**

A Coordination Meeting on the Monitoring and Control of Black Sea Turbot was held in Vigo (Spain) from 2 to 3 February 2012. Representatives from Bulgaria, Romania, DG MARE and EFCA were present. The main objective of this meeting was to finalize a plan of cooperation between Bulgaria and Romania for the monitoring and control of the turbot fisheries in Black Sea.

The national control plans of both MS were reviewed and finalised. As well, the programme of the Black Sea Regional Training for Trainers was developed and agreed.

Concerning the joint control and inspection activities to be implemented by Bulgaria and Romania, a number of options were identified, both at sea and ashore. Joint inspection teams on board fisheries patrol vessels patrolling their own EEZs was considered the most suitable solution. A text for establishing the basis of such cooperation was provided to both delegations. In order to promote transparency and a level playing field in the implementation of both plans, a regular and periodic exchange of information was agreed between both MS.

A meeting was convened at the end of the fishing season to present and assess the results of the implementation of the national control programmes.

### **Black Sea Regional Training for Trainers**

A training for Bulgarian and Romanian national trainers which were involved in the implementation of the 2012 National & Monitoring Control Plans for turbot was organized by

the European Fisheries Control Agency (EFCA), from 26th to 28th March 2012 at the EFCA premises in Vigo (Spain).

Participants from Bulgaria, Romania and DG MARE attended the training.

The main objective of this regional training was to train MS national trainers that would be involved in the preparation, development and implementation of national training courses for inspectors in their own countries. Training material (theoretical presentations and practical exercises) were disseminated during the regional training to facilitate the preparation and implementation of the national ones.

During the regional training, EFCA offered the possibility to support the national trainings to be organized by Bulgaria and Romania.

The topics presented during the training sessions were highly appreciated by the attendants and they actively participate during the discussions. Sessions concerning practical exercises were worked out by the participants. Each participant received the opportunity to complete a questionnaire to assess the training. The results of the training were considered very positive.

**Participation of EFCA coordinator to joint inspection:**

Three joint operations were conducted in 2012 between Bulgaria and Romania. The timetable established between both Member States was the following:

- 1/ between the 10/07/2012 and 15/07/2012 aboard a Bulgarian patrol vessel
- 2/ between the 15/09/2012 and 20/09/2012 aboard a Romanian patrol vessel
- 3/ between the 01/11/2012 and 10/11/2012 aboard a Bulgarian patrol vessel

EFCA were able to take part to the 2nd and the 3rd joint mission.

The Fishing Monitoring Centres (FMCs) of the MS where the joint mission took place were in charge of the coordination of the joint activities. During the joint operations, the FMC in charge provided the necessary information to the joint inspection teams. In particular, the FMC:

- Prepared the briefing of the joint inspection operation to present the objectives of the joint inspection operation, as well as to remind the legal framework of the joint inspection operation and operating rules).
- Performed the risk analysis to support the work of the joint inspection team.
- Provided targets for the joint inspection team.
- Centralized the communications and information.
- Prepared the debriefing of the joint inspection operation.

The EFCA Coordinators provided guidance and support to the joint inspection teams and the masters of the patrol vessels.

The exchange of inspectors between Bulgaria and Romania was considered very positive by both MS and EFCA and it should be pursued. As it is the case in other activities coordinated by EFCA, these exchange will be fundamental to increase the transparency and to achieve a level playing field in Black Sea turbot fisheries.

In addition to the support provided during joint inspection activities, these missions were a remarkable opportunity for EFCA coordinators to get familiar with the organization and the capacity of Bulgarian and Romanian inspection services. The knowledge gained during these missions permitted EFCA to identify the areas on which additional advice could be provided. The definition of the programmes for future trainings will benefit from such field missions. For instance, the development of a proper methodology to carry out inspection tasks as well as the harmonization of inspection procedures have been identified as a priority for future training sessions.

### **Meeting on the Implementation of the 2012 Control and Monitoring Plans for Turbot in the Black Sea**

A meeting to review the Implementation of the 2012 Control and Monitoring Plans for Turbot in the Black Sea took place on 26 November 2012 in DG MARE premises. EFCA was represented at this meeting.

The main objectives of the meeting were the presentation and discussion of the activity reports presented by both Member States concerning the implementation of the 2012 Control and monitoring National Plans for Turbot in the Black Sea. During the meeting, lessons learnt were discussed and shortcomings identified, in order to propose remedial actions to be considered when preparing the 2013 plans.

In particular, the necessity to include joint activities during the fishery closure in their control plans and to reinforce the training were identified as a priority for 2013.

## 6. Data Monitoring and Networks

IT operational systems are developed under the umbrella of FishNet, a virtual coordination room project providing EFCA and MS officials with relevant information for joint control operations.

The EFCA IT strategy focused on the maintenance, development and enhancement of building blocks of FishNet: vessel satellite positions (VMS), electronic logbooks (ERS), electronic inspection reports (EIR), activity reports and risk analysis (JADE) as key components.

Distinct from individual IT systems operated at a national level by FMCs, the EFCA IT applications provide a global view at the JDP level with an enhanced and complete picture. These are unique systems that are only developed for EFCA to support enforcement of the CFP at the EU level.

### **FishNet**

Like in an aircraft cockpit, the **FishNet** single sign-on portal will provide a secured access to all necessary communication tools required by officials involved in operational operations on a “need to know” basis.

This platform is designed to support the transfer of information (that may be highly confidential) by various means such as voice, email and instant messaging. Amongst other tools a collaborative document writing tool, a calendar and a mission planner will be available on FishNet

Fishnet is to ensure all communication and data storage and retrieval are securely available at all times. Due to the confidentiality of certain information to be transmitted across this platform (both verbally and written) security and access management are of utmost importance. A specific service contract for FishNet security was signed to this effect.

During 2012, the following tasks of Phase 1 were completed under a service contract that was established to implement:

- Task 1: Project Start up and Consolidation
- Task 2: Development of a High Fidelity Prototype

### **Vessel Monitoring System (EFCA-VMS)**

Like in previous years, the **EFCA-VMS** system was continuously operated during all Joint Deployment Plans campaigns: Cod in Baltic, Cod in North Sea, Pelagic in Western Waters, NAFO, NEAFC and Bluefin tuna in the Mediterranean Sea.

During 2012, EFCA received VMS positions from all EU Member States participating to the different JDPs as well as from RFMOs (ICCAT, NEAFC and NAFO) for third countries. The enhanced functionality provided as part of the VMS upgrade during 2012 was implemented to address new users needs with a much improved system, in particular in relation to scenario building, activity alarms and report management.

### **Electronic Reporting System (EFCA-ERS)**

Electronic fishing logbooks, landing declaration, sales notes are the types of messages that need to be exchange between inspection authorities involved in coordinated control operations. These messages are first collected by Flag States (FMCs) and exchanged between Coastal States. The required content of these messages are defined in Annex XII to Commission Implementing Regulation (EU) No 404/2011. **EFCA-ERS** reconstitutes a global view by gathering information related to the JDP operations. The EFCA system was designed to receive, process and exchange electronic reports of Annex XII and to reconstitute fishing trips in a logical order to facilitate risk analysis. It was not designed to interact directly with fishing vessels.

EFCA implemented the first development phases of its own ERS system during the whole year. The first testing occurred in April 2012 while the system was put in production in October 2012, thus increasing the capacity to support JDP campaigns starting in early 2013.

### **Electronic Inspection Reports (EFCA-EIR)**

During 2012, and in particular during the second half of the year, EFCA held a number of meetings and workshops with Member States aimed at finalising the work of establishing an agreed definition of the data elements contained within Annex XXVII and XXIII to Commission Implementing Regulation (EU) No 404/2011. This in turn, facilitated the development of a common exchange format (XSD) and the preparation of associated business rules that will be useful for the development of **EFCA-EIR**, thus ensuring the best possible compatibility with MS national systems.

## 7. Training (*core curricula*)

During 2012, the following aspects were reviewed and improved in the field of Core Curricula (CC) development:

- the adequacy and effectiveness of the CC development process, especially the project management tools in place to ensure that objectives were met;
- Stakeholder management
- the effectiveness, and in some aspects the efficiency, of the organization of training activities, in general, in the Agency.

Internal control systems were put in place for ensuring the achievement of the business objectives, in the following important issues:

- The definition of the stakeholders' roles and responsibilities at different stages of the CC development process, crucial for the legitimacy and effectiveness of the Agency's work. The Agency has now clearly determined the involvement and responsibilities of its Stakeholders at all levels as well as for the document validation sub-process.
- As part of the most important project management tool, monitoring was substantially reinforced and systematised, in order to follow progress towards the achievement of the objectives.
- The training modules have been completed with clearly defined CC development sub-processes and steps. This is particularly the case for the sub-process of Quality checking and validation. While planning these activities the Agency has considered workloads and resource availability issues. These working arrangements allowed to meet both short-term and mid to long-term objectives, as EFCA would have to deal with a substantially increasing number of training modules developed. The joint drafting of modules was supported by a network of technical experts in the relevant fields of fisheries and pedagogy.

In order to enhance the CC development process, a number of milestones were implemented to ensure the achievement of the business objectives;

- Implemented rules of procedure for the Working group and Steering group
- Developed SMART objectives at all levels for the Training and development activity
- Mapped the Agency's knowledge
- Introduced a style and drafting guide
- Introduced monitoring tools to follow up operational and financial indicators

- Defined the steps for internal checks
- Designed checklists
- Defined external review and validation steps
- Determined a policy for the management of MS comments

To have a solid basis for the development of training material, a pedagogical expert was contracted to advice on the methodology for the development of the CC. The time and effort invested in the development of a pedagogical methodology for training was laid down in a Methodology paper, which was presented to and approved by the MS. A dual approach on the CC development was decided and agreed with the Member States. The Curricula are composed of a training handbook with the teaching materials for the students and a training manual with the instruction for the trainer. The development of the CC started with the development of modules on Sea inspection as advised by the Working group. A regional and specific approach according to the fisheries is envisaged.

A web - based CC development platform (CCDP 1.0) was created for exchanging information with the external experts and MS, and a second version of this platform (CCDP 2.0) was tested for using it as an online tool for developing the CC courses. This online application supports the collaboration of experts, MS, the Commission and EFCA for the development of CC training materials. Authorised users are able to exchange, to track comments of the different versions of the documents, and to manage meetings, calendar, news, or announcements. This virtual collaboration tool will provide the capacity to draft and review remotely Core Curricula (CC) documents.

At the request of Member States, participation of the EFCA in general national training programmes was conducted. Assistance was delivered for a basic training programme in Belgium.

The inspection at sea course was drafted, discussed and agreed with Member States during 2012. In line with the discussions held in the framework of the Working and Steering Groups, this is one out of four main areas to be covered by CC courses, the other three being:

- Port inspections (transshipments and landing inspections)
- Traceability (transport, markets and IUU)
- Monitoring and control (finalising the inspection, surveillance, and risk analysis)

Considering the weight of the Inspection at sea course in the CC project as a whole, and taking into account that it would greatly facilitate the work on port inspections, it can be estimated that nearly one third of the CC has been completed during 2012.

## 8. European Union system to fight IUU fishing

EFCA has continued to support the Member States and the Commission in the implementation of Council Regulation (EC) No 1005/2008 in the fight against IUU fishing. The support by the EFCA has been organised in the following key areas:

- Fulfilment of the tasks transferred to the EFCA under Commission Decision 2009/988/EU of 18 December 2009, i.e. evaluation and dialogue missions to third countries
- Provision of workshops to national authorities

a) Activities concerning the tasks transferred to the EFCA under Commission Decision 2009/988/EU of 18 December 2009:

- Transmission of notifications on denials of landing or transshipment authorisations by third country vessels in accordance with Article 11(3) of Regulation (EC) No 1005/2008.

No notification has been received by the EFCA in 2012.

- Transmission of additional information submitted by the Member States to the Commission which is relevant for the establishment of the European Union IUU vessel list in accordance with Article 25 (2) of Regulation (EC) No 1005/2008.

No information has been received from the Commission by the EFCA.

- Transmission of sighting reports in accordance with Article 48(4) of Regulation (EC) No 1005/2008.

Three sightings report have been received by France in February, June and August 2012 concerning sightings by French inspectors in the CCAMLR area. However, according to a note of DG MARE of 29 March 2012 these reports had to be considered sightings under Article 48(2) of the IUU Regulation and thus did not fall within the scope of the tasks transferred to EFCA under Commission Decision 2009/988/EU of 18 December 2009. Therefore the reports were immediately transmitted to DG MARE – A/1 for further action and France was informed accordingly.

- Transmission of information from a Member State in response to a sighting report on one of its vessels from a contracting party to that Regional Fisheries Management Organisation in accordance with Article 48(5) of Regulation (EC) No 1005/2008.

No information has been received at the EFCA.

- Audits and evaluation missions in cooperation with the Commission to verify the effective implementation of agreed cooperation arrangements with third countries in accordance with Article 20(4), second subparagraph (c) of Council Regulation (EC) No 1005/2008.

In 2012, the EFCA has participated and supported the Commission in nine evaluation and dialogue missions to the following third countries:

- *Fiji (January 2012)*
- *Vanuatu (January 2012)*
- *Philippines (2, January and June 2012)*
- *Taiwan (February 2012)*
- *Ivory Coast (September 2012)*
- *Vietnam (September 2012)*
- *Thailand (October 2012)*
- *PNG (November 2012).*

In preparation of these missions, a total of 828 catch certificates and 466 processing statements has been analysed and processed by EFCA in 2012.

b) IUU workshops

- IUU workshops for Member States, organised by the EFCA at its premises in Vigo

Four IUU training workshops were organised by the EFCA for Member State officials. They were conducted following an identification of needs for training in cooperation with the Commission and the Member States. Member State representatives attending the workshops were asked to disseminate the information and documents presented within the trainings as widely as possible within their own administrations.

During the workshops Member States were split into groups in order to allow the participation of at least three representatives per Member State.

In 2012 the major aim of the workshops was to continue the practical and operational approach and to base the discussion on real cases and examples. Some of the main specific training topics delivered during 2012 were:

- Verification procedures and tools: Exchange of experiences and best practices
- Cooperation among authorities
- Identification of non-cooperating third countries
- Re-export certification

- Use of the Mutual Assistance

The evaluation survey conducted during the 2012 workshops shows that MS are very satisfied with the organization and content of the workshops imparted by the EFCA. Summarizing, 85% of the 87 participants in all workshops rated the overall level and the usefulness of the information provided with very good or good, and more than half considered that they improved their knowledge on the subject quite significantly or to a large extent.

- EFCA participation in IUU events organised by Member States at national level

The EFCA was also available to supported Member States in trainings organised at a national level for the implementation of the IUU Regulation. EFCA attended to one regional IUU workshop organised by the UK, and to one national Fisheries Control Seminar organized by DE, both in November 2012.

## 9. Maritime Surveillance and Pooled Capacities

### **Inter-agency cooperation and pilot project**

Promoting the EU initiative towards an integrated maritime surveillance, EFCA has been cooperating cross-sectorially with other agencies and bodies active in the maritime domain. An inter-agency cooperation agreement between, EMSA, Frontex and EFCA was signed in 2009.

In 2012 inter-agency cooperation took place at different levels.

- Frontex

EFCA has attended 3 European Patrol Network (EPN) workshops focusing on developments in illegal immigration sea border surveillance activities, thus allowing for EFCA to present its activities and to exchange views on best practices and latest technological developments.

During the BFT JDP campaign in the Mediterranean Sea, with a view to make better use of available surveillance means in the area, Frontex provided assistance when requested by EFCA with regards to the collection of fisheries related sighting information. For this purpose a specific training for Frontex air surveillance crews was provided by EFCA.

- EMSA

EFCA cooperated intensively with EMSA mainly focusing on setting-up the MARSURV-3 pilot project for the JDP BFT in the Mediterranean Sea.

The main objective was to assess the added value of enriching the existing global picture of the EFCA-VMS system with additional layers of information (AIS, Sat-AIS, LRIT, SAR-Images, Nautical charts and inspection and surveillance activities) for operational coordination and monitoring.

For this purpose a tailor-made application, MARSURV-3, was developed and implemented successfully. Marsurv-3, a graphical interface based on the IMDatE platform, allows data for data fusion and correlation of the traditional VMS data with other sources providing an integrated maritime surveillance picture.

The project clearly illustrated the added value of exchanging cross-sectoral experience and professional knowledge available in different domains.

- ESA

In parallel with the MARSURV-3 pilot project, the possible use of Satellite Imagery for vessel detection was assessed. EFCA was provided with access to the Mariss (E-geos/ESA) service network allowing for the use of Satellite Aperture Radar (SAR) images during the JDP BFT.

With regard to the technology used, EFCA coordinators were invited for a training session at ESA (ESRIN) training centre.

- EUSC:

In order to explore possible future cooperation with regards to the use of Satellite imagery EFCA also exchanged views with the European Union Satellite Centre (Madrid) and visited the centre.

### **Contribution to the development of a Common Information Sharing Environment (CISE)**

CISE is currently being developed jointly by the European Commission and EU/EEA Member States.

CISE will make different systems interoperable so that data and other information can be exchanged easily through the use of modern technologies. A roadmap has been adopted to develop the CISE and a Technical Advisory Group (TAG) has been set up.

EFCA, in close cooperation with representatives of the 'user community fisheries control', has been actively participating as a member of the TAG to CISE. EFCA attended all 6 TAG meetings in 2012 and provided input and expertise with regards to fisheries control related matters, the development of use cases and associated pilot projects.

**Union Inspectors**

With regard to the list of Union Inspectors established pursuant to article 79(1) of Council Regulation (EC) No 1224/2009 and in line with the responsibilities of EFCA, the 2012 list of Union Inspectors was published on the EFCA web page. In addition a procedure was developed for the issuing and distribution by EFCA of more than 1100 Union inspectors' identification documents.

The 2012 Union inspectors list, adopted in December 2011, contained 1463 Union inspectors from Member States, DG Mare and EFCA. The new legal framework related to Union inspectors and the new corporate image of EFCA resulted in a significant workload with regard to the production and distribution of the new cards.

**EFCA coordination centre**

In 2012 the EFCA coordination centre has been intensively used for the operational coordination of several JDP's. The coordination centre was continuously upgraded in view of user feedback, operational requirements and data access rules. Access to external maritime data sources and applications has been improved. During the JDP BFT the coordination centre was used as a 'test environment' for the MARSURV-3 pilot project

## ANNEX II. Conclusion of Bluefin tuna Seminar

### Report of the Technical Seminar with ICCAT Contracting Parties on the Monitoring and Control of Bluefin Tuna Fisheries

A Technical Seminar with ICCAT Contracting Parties on the monitoring and control of bluefin tuna fisheries was held in Vigo (Spain) on the 28 and 29 of June 2012. The seminar was organized by the European Fisheries Control Agency (EFCA) on request of the European Commission. All interested ICCAT CPCS were invited to participate. Representatives from Algeria, Croatia, Morocco, Tunisia, Turkey and the European Union attended the seminar.

The technical seminar was planned in several Sessions. Each session dealt with a specific topic related to bluefin tuna monitoring and control and was chaired by one CPC.

**Specific Session 1 (Purse seiners and farming activities)  
Implementation of article 87 of ICCAT Recommendation 10-04 (pilot projects and sampling plans)**

The session was chaired by Algeria. As an introduction to this session, Paragraph 87 of Recommendation by ICCAT amending the recommendation by ICCAT to establish a multi-annual recovery plan for bluefin tuna in the eastern Atlantic and Mediterranean (ICCAT 10-04) was recalled. Emphasis was made on the difference between the first subparagraph which refers to the pilot studies on how to better estimate both the number and weight of bluefin tuna at the point of capture and caging and the third subparagraph which deals with sampling programmes to be established at the time of caging in order to improve the counting and the weight estimations of the caged fish.

Croatia, Turkey and the European Union presented elements of their pilot studies using stereoscopic systems. The European Union has used stereoscopic systems both at the point of capture and during the caging. Croatia and Turkey presented their experiences and results when using stereoscopic systems at the time of caging. Distance of the fish to the stereo-camera is decisive for having accurate results. In this way, reducing the opening of the net could make possible to measure more fish in each transfer, increasing the accuracy of the results. Even if the results of the pilot studies are promising, the high cost of these stereoscopic systems was also an issue for some of the participants.

The reports of these pilot studies have been reported to the SCRS.

Concerning sampling programmes, some participants expressed their difficulties at the time of deciding the size of a sample which will be representative of the whole cage and on the way to collect such a sample in a random way.

### **Conclusions**

- ✓ Accuracy, acquisition and operational costs of the video systems as well as the cost of sacrificed fish during the tests are crucial element to be considered in the future.
- ✓ Morocco proposed in this framework, where possible, a cooperation regarding the calibration of video cameras at traps.
- ✓ In order to meet operational requirements and reduce the costs, Turkey proposed a possible joint approach in relation to acquisition of video systems.

### **Specific Session 2 (Purse seiners and farming activities)**

#### **Video records as a tool to control the transfers**

The representative from Turkey chaired the specific session N° 2 concerning video records as a tool to control transfer activities. As an introduction, EFCA summarized the relevant ICCAT legislation in force.

Paragraphs 79 and 95 of ICCAT 10-04 on the obligations by concerned operators to ensure the monitoring of live bluefin tuna transfer activities by video camera in the water as well as the access and requirement for video records were recalled. Transfer activities subject to the requirements of Paragraph 79 according to the definitions as in Paragraph 2 g of ICCAT 10-04 were listed. It was stated that since the entry into force of ICCAT 10-04 the most common transfer operations are those implemented from the catching vessel to the transport cage, with the exception of few transfer operations carried out from traps to transport cages.

The most common possible risks of non compliances to the requirements of the video records based on the current legislation were then presented.

The Spanish representative presented the Spanish control strategy of bluefin tuna fishery activities destined to Spanish farms as well as the preliminary results of the inspection activities in 2012. Minimum standards of video records required by Spanish national law were also presented.

EFCA presented some general concepts in order to improve the transfer's videos control system. During the discussion, the Tunisian representative stated that it would be convenient to find common solutions between the different CPCs to cope with the problems

encountered during the recording of the videos of the transfers. Croatia mentioned that presently the minimum standards for the registration of the videos in order to ensure the correctness of the monitoring of transfer operations were not clearly defined.

### **Conclusions**

The video records are an essential tool for the control of transfers. It is crucial to ensure that the original video record of the transfer is not replaced, edited or manipulated.

Several ideas were discussed in this regard:

- ✓ The original video record could be provided immediately after the operation and should be checked and initialised by the ICCAT regional observer or the inspector.
- ✓ Video could cover all the transfer operation, from the opening of the seine gate to the closure of the cage of transfer.
- ✓ It could be an advantage to have standards for camera and video reproduction.

### **Specific Session 3 (Traps activities) Specific aspects related to the trap activities**

Session 3 was chaired by Morocco. He made a technical description of the functioning of a trap, followed by an EFCA presentation which aimed to recall the essential provisions of ICCAT 10-04 concerning traps. It was reminded that in accordance with paragraph 2 g of ICCAT 10-04 any transfer from a bluefin tuna farm or a tuna trap to a processing vessel/transport vessel, and any transfer of live bluefin tuna from the trap to a transport cage are considered a transfer operation. Hence it should follow the regulatory requirements of paragraph 75 (pre-notification for transfer), paragraph 76 (cannot start before prior authorization with unique number provided by CPC), paragraph 77 (trap operator shall complete a transfer declaration) and paragraph 79 (where appropriate, transfer shall be monitored by video).

During the discussion, the following issues were mentioned:

- ICCAT 10-04 requires CPCs to ensure 100% traps observer coverage during the harvesting process of the tuna traps. However, there are not specific provisions for either CPC or Regional observers to be present when transferring bluefin tuna from the trap to a transport cage;
- No provision for by-catch by traps not authorised in ICCAT list for bluefin tuna;
- There is no tolerance for incidental catches of undersize bluefin tuna in ICCAT 10-04;

- ICCAT 10-04 does not regulate how long the bluefin tuna can be kept after it has been caught by the trap before it is harvested.

Concerning the issue of undersized fish, Morocco confirmed that during the 2012 campaign there was no problem of undersize fish caught by the traps and all fish caught were transferred to cargo vessels. As soon as the quota was exhausted, Morocco closed the fishery and traps were dismantled. The bluefin tuna caught while the traps were being dismantled was released alive according to ICCAT 10-04 provisions.

**Specific Session 4 (Other gears)**  
**Specific aspects related to other gears (e.g. by-catch monitoring)**

Specific session 4 was dedicated to “others gears” (baitboats and trolling boats, longliners, pelagic trawlers). Tunisia was chaired this session. To ensure that all participants had the same understanding about regulations, EFCA conducted a presentation dealing with essential points of the ICCAT 10-04 in this regard. Topics addressed in the presentation were the following: closed fishing seasons (paragraphs 21, 23, 24), minimum size (paragraph 29 and Annex 1), by catch (paragraph 31), transshipment (paragraph 62), and CPC observer programme (paragraph 90).

Following this presentation, questions dealt mainly with technical issues concerning fishing gears, especially the pelagic trawls. It was underlined that pelagic trawlers are actively targeting bluefin tuna only in the Atlantic and that due to the cost of exploitation and the bad quality of the bluefin tuna caught by pelagic trawls, most of them had already changed their gears to longlines.

**Conclusions**

Monitoring and control of traps and other gears was also considered very important. A need was identified for further technical discussions, inter alia selectivity of trawl nets, observer schemes, traceability, by catch, minimum landing sizes and the need to develop a monitoring catch reporting systems satellite based or an alternative effective system.

**Specific Session 5 (Traceability)  
Documentation requirements, including the BCD Programme**

This session was chaired by Croatia. Croatian representatives made a comprehensive presentation regarding the traceability system put in place in Croatia from the time of the capture until the caging takes place. The key points were the completion of the BCD and the ICCAT transfer declaration and the roles of the observers (both regional and national). During the following discussion several issues concerning the sanitary aspect of the traceability, strength/weakness of regional and national observers in enforcing ICCAT provisions, real time validation of the documents (mainly BCD) were mentioned.

EFCA staff made as well a brief presentation on the provisions related to this topic that are included in both ICCAT 10-04 and ICCAT 11-20 (Recommendation by ICCAT Amending Recommendation 09-11 on an ICCAT Bluefin Tuna Catch Documentation Program).

The required documentation provided for in ICCAT 10-04 that needs to accompany the fish in case of transport of live fish for farming activities and dead fish landing and transshipment was considered separately.

**Transport of live fish for farming activities**

- Original transfer declaration signed by the master of the catching or towing vessel/trap operator/farm operator, the ICCAT Regional Observer and the master of the receiver vessel.
- Video record of the transfer activity.
- Original BCD.

**Dead fish trade (landing and transshipment)**

- Original transshipment declaration signed by the master of the transshipping vessel and the master of the receiving vessel.
- Original BCD.
- Bluefin tuna re-export certificate (if re-exported).
- Labelling and marking for retail sale.
- Tail tag requirements.

Experiences of participants with traceability documents, particularly BCDs, and observers role to this document, were exchanged. Potential problems during the completion of both the BCD and the transfer declaration were discussed.

## Conclusions

Traceability during all the commercial chain is a key element to ensure compliance with the catch limits of bluefin tuna.

## ANNEX III. Horizontal support activities

### 1. Human Resources

Recruitment has been carried out in line with EFCA's objectives and budgetary considerations and the recruitment plan. The staff training agenda for 2012 was set up based on an analysis of needs and has been implemented. In the first semester of 2012, a change in the EFCA organization has been implemented which included the centralisation of finance in Unit A - Resources of data management systems and IT in Unit B – Capacity Building as well as the transfer of IUU staff and tasks to Unit B – Capacity Building. It included changes of titles and assignment of staff adjusting to the new structure.

Unit C structure has been slightly modified into three regional Desks (North Sea and Baltic Sea, North Atlantic and Western Waters and Mediterranean and Black Sea), in line with the Commission regional organization, and a horizontal Desk (Programmes, Plans and Assessment).

The reinforced horizontal Desk (Programmes, Plans and Assessment) will be responsible for the coordinated implementation of the work programme by the different regional Desks, and coordinate horizontal projects through three dedicated Task Forces:

- Training and Assistance to the Member States and third countries
- Risk Analysis and Assessment
- Functional Coordination of JDPs

The regional Desks will implement the regional JDPs and support the implementation of dedicated projects and specific requests (e.g. training, implementation of the control regulation) under coordination of the Task Forces of the horizontal Desk.

The appraisal exercise for the reporting period of 2011 was processed and the first reclassifications of staff members, following the 2012 reclassification exercise, have been implemented. Human Resources applied external services under Service level agreements (SLA) with EU institutions and agencies, as well as contracts with service providers for training/schooling, insurances and interim workers. The HR Section was performing a broad portfolio of procedures and follows predefined workflows within the team facilitating the necessary business continuity of services. The performed procedures are subject to audits

and they are being continuously developed towards best practise. They can be grouped into following main areas of activities:

**Areas of HR activities**

Planning	Recruitment	Contract Management	Documents	Entitlements/Obligations	Training
Organisation	Career	Certificates	Rules and Frameworks	Medical and Services	

HR Section processed projects (leave management improvement, support organizational changes) and requests of management and staff regarding at specific cases or needs while keeping a close cooperation with the services of the European Commission for compliance with the applicable provisions and the developments of the regulatory framework.

## 2. Finance and procurement developments

During 2012, the Agency carried out a centralisation of the financial management into the Resources unit. The main objective of the centralisation was to reduce the human resources dedicated to financial management, increasing the expertise and capabilities of the relevant staff, and providing a more stable back up set up for the financial workflow of the Agency.

Starting on 1 March 2012, a new authorising officer by delegation was named for the authorisation of transactions under Title III (chapter 30) of the budget.

The procurement activities of 2012 have been carried out timely, mainly focusing on the maintenance and replacement of existing contracts and on upcoming new operational needs. The latter increased quite rapidly, thus requiring an increased resources dedication. Several needs have been addressed with the use of existing contracts, either EFCA's own or those of the Commission.

In this respect, the Agency has continued to follow the procurement activities of the Commission in order to be included in all relevant Inter-institutional procedures, thus reducing the overall procurement workload. In this regard, EFCA has joined over 10 Inter-institutional procedures either at the tender stage or by joining the contract (most of them from the Directorate General for Informatics).

In the same line, additional agreements have been signed with other Institutions or Agencies for the provision of services. Namely, with the Translation Centre (CDT) through the signature of a new agreement replacing the existing one; EPSO for recruitment services; PMO for general HR related issues.

In anticipation of the new Financial Regulation in force from 1/1/2013, the preparation of new procurement and contract templates was carried out towards the end of the year.

Further details of the Agency's contractual procedures and contracts which have been launched and/or finalised in 2012 are shown in Annex VII.

### 3. Budget Execution EFCA 2012

There were €9.22 million set as 2012 contribution to the EFCA from the total subsidy of the European Union.

	2008	2009	2010	2011	2012
Implemented Commitments	88%	98%	98%	99%	96%
Implemented Payments	74%	88%	85%	89%	83%

By the end of the financial year 2012 the Agency had committed 96% of the subsidy granted. The Agency also paid 83% (in 2011, 89%) of the available payment appropriations for 2012. The non-used commitment and payment appropriations have been in part due to the salary indexations of 2011 and 2012 not paid in 2012 (around €120,000).

TITLE	BUDGET 2012	COMMITMENTS			PAYMENTS			CARRY FORWARD	
		Approp. (€)	Consumed (€)	% exec	Approp. (€)	Paid (€)	% exec	RAL	% of voted budget
TITLE I	6,225,000	6,184,408	5,858,478	95%	6,184,408	5,745,819	93%	112,659	2%
TITLE II	1,279,359	1,319,951	1,308,227	99%	1,319,951	854,660	65%	453,567	35%
<b>TOTAL TITLE I AND II</b>	<b>7,504,359</b>	<b>7,504,359</b>	<b>7,166,705</b>	<b>96%</b>	<b>7,504,359</b>	<b>6,600,480</b>	<b>88%</b>	<b>566,226</b>	<b>8%</b>
TITLE III	1,712,541	1,712,541	1,679,662	98%	2,712,541	1,907,347	70%	773,296	45%
Capacity Building	716,601	778,601	757,305	97%	778,601	267,769	34%	489,536	68%
Operational Coordination	995,940	932,940	922,357	99%	932,940	638,597	68%	283,760	28%
Acquisition of Means	pm	1,000	0	0%	1,001,000	1,000,982	100%	0	0%
<b>TOTAL</b>	<b>9,216,900</b>	<b>9,216,900</b>	<b>8,846,367</b>	<b>96.0%</b>	<b>10,216,900</b>	<b>8,507,827</b>	<b>83%</b>	<b>1,339,522</b>	<b>15%</b>

See Annex IV for additional detailed on budget implementation 2012

In terms of the share of payments in compliance with the FR time limits, 98.6% (87% in 2011) of all payments were made within the legal targets. For commercial invoices,

97.6% (79% in 2011) were paid within the 30 legal days, and around 99% (91% in 2011) of cost claims (mainly reimbursements to staff and experts) were paid within the 45 legal days.

	30	45	Total
<b>Within Time Limit</b>	410	1,059	1,469
<b>Late Payment</b>	10	10	20
<b>Sum:</b>	<b>420</b>	<b>1,069</b>	<b>1,489</b>
<b>% compliance</b>	<b>97.6%</b>	<b>99%</b>	<b>98.6%</b>

During 2012, there were six non-material exceptions registered, one of them being an a posteriori commitment.

#### 4. IT and Facilities

In line with the organization change on 1 March 2012, the IT section devoted large part of its effort to support the development of strategic operational projects while continuing to follow and improve the IT corporate systems. The main rationale of the new organization is to have all of the IT aspects under a single line of responsibility. In addition, the set-up of the EFCA IT Steering Committee helped in giving balance and priority between the operational and the corporate activities, striving to achieve the Agency strategic objectives. The IT Steering Committee met on a quarterly basis steering the IT projects priority and the IT investments.

The IT section mainly worked over 3 strategic lines: IT Governance activities, EFCA capacity building systems and IT corporate systems and infrastructure.

In the IT Governance area the following main activities have been completed:

- Drafting of the EFCA IT policies in the fields of IT Security, IT Project Management and IT Software Delivery.
- The Business Continuity has been further improved with the development of a new version of the IT Business Continuity. The overall EFCA Business Continuity Plan has been also updated with an update of the reference personnel and the definition of an alternate email solution.
- A Document Management model has been prepared according to the MoReq standards and implemented either in the new Intranet or in the Core Curriculum Platform, in accordance with the IAS recommendation.

As regards the EFCA Capacity Building systems, the following main projects/activities have been carried out:

- Support to the Implementation of the new ERS system and (see also Data Monitoring and Network section).
- Definition and kick-off of the Fishnet systems on two axis: FishNet security and Fishnet development (Phase 1).
- Technical support during the Maritime Surveillance Blue Fin Tuna pilot projects
- Implementation of the new Core Curriculum development platform as main capability tool to define the different training core Curriculum modules and implementing the related workflow. The system also implemented the EFCA Document Management System model according to the DMS model study performed under the IT Governance activities.
- Acquisition and implementation of the new hardware necessary to sustain the operational systems growth and integration in 2013.
- Acquisition and implementation of the new security elements necessary to implement the necessary security level for the operational systems in 2013.

In the Corporate systems and IT infrastructure area, the following technical activities have been performed:

- Implementation of the new Intranet. A new comprehensive collaboration environment has been implemented together with the EFCA Document Management System model.
- Acquisition and implementation of the new storage system in order to sustain the overall Agency data growth in 2013.
- New personal computing procurement to replace the oldest IT equipment for the EFCA staff.

## **5. Data protection and access to documents**

EFCA continued to implement the applicable legislation on the protection of personal data processed by the EFCA (Regulation 45/2001). The Executive Director warranted compliance of the Agency with the rules, in cooperation with the Data Protection Officer, by raising awareness and organising training sessions addressed to EFCA staff on the importance of data protection and the notification procedure. Staff has been alerted and proactive in bringing forward data protection issues to the management and the Data Protection Officer and has thus further contributed to the existing culture of respect of the data protection rules.

In addition, the EFCA has dealt with the notification and follow up of several procedures subject to prior checking by the European Data Protection Supervisor. The close collaboration with the European Data Protection Supervisor has been key in this area.

As regards the implementation of the applicable legislation on access to documents (Regulation (EC) No 1049/2001), in 2012, the EFCA granted the requested access to documents in all cases.

## 6. Internal control systems and audits

Since the start of its activities, and in line with its growth, EFCA has progressively developed and implemented a series of internal measures to ensure that its activities are sufficiently monitored, controlled and evaluated to provide reasonable assurance to management of the achievement of the Agency's objectives. These measures are in line with the set of "Internal Control Standards for Effective Management and Requirements" (ICS) that was adopted by the EFCA Administrative Board in its 7th meeting on 13 March 2008.

The existing internal control measures help to ensure that EFCA's operational activities are effective and efficient whilst also certifying that all legal and regulatory requirements are met, financial and management reporting is reliable, and assets and information are safeguarded. Examples of measures already in place are: implementation of organisational structures; development of numerous staff policies and operational procedures; provision of training in various areas; setting of clear objectives and their monitoring through well-developed management reporting and monitoring tools including performance indicators. Taken together, these measures constitute the internal control system of the Agency.

During 2012 the Agency made special efforts to further develop the internal control system, more in particular in following areas:

### Implementation and enhancement of the Risk Management Policy

The Agency adopted its Risk Management Policy in 2011 and took further actions to keep the Risk Register up-to-date. At the same time, an action plan to reduce the level of each identified risk to an acceptable scale was defined and the necessary actions were taken.

### Annual assessment of the Internal Control System.

Taking into consideration the requirement that "Management should assess the effectiveness of the Agency's key internal control systems, including the processes

carried out by implementing bodies, at least once a year”, the Agency implemented a procedure in order to comply with the requirement.

As part of this formal procedure, an Internal Control Coordinator was appointed.

Following the adoption of this procedure, the Agency’s Internal Control System will be formally assessed on a yearly basis.

In 2012, the Agency did not record any exception of material value which deviated from established policies and practices or where internal controls were overridden.

In line with the Strategic Audit Plan 2010-2012, the Internal Audit Service of the Commission carried out a follow up audit on Capacity building, training and development at EFCA.

The objective of the follow-up engagement was to assess the progress made in implementing the 'very important' and 'important' recommendations contained in the IAS audit report on Capacity building, training and development at EFCA. The latter, dated 24.01.2012, included a number of recommendations to improve the functioning of the internal control system set up to achieve the business objectives of Capacity building – training and development.

IAS concluded that all recommendations issued in the context of the IAS audit of "Capacity Building" in 2011 have been adequately implemented.

The Agency shares the services of an Internal Audit function (Internal Audit Capability-IAC) with the European Maritime Safety Agency in Lisbon via a Service Level Agreement between the Agency and EMSA signed on 17 June 2008. The IAC is dedicated to providing support and advice to the Agency's Executive Director and management on internal control, risk assessment and internal audit. As in previous years, in 2012 the Agency made use of this service, in line with Article 38 of EFCA’s Financial Rules (FR) and Article 34 of the Implementing Rules of the FR.

## ANNEX IV. Budget Execution 2012

**BUDGET EXECUTION – FUND SOURCE C1**

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
A-1100	Basic salaries	3,687,408	3,599,414	98%	3,687,408	3,599,414	98%
A-1101	Family allowances	590,000	549,326	93%	590,000	547,076	93%
A-1102	Expatriation and foreign-residence allowances	545,000	522,957	96%	545,000	522,957	96%
A-1111	Contract staff	192,000	190,065	99%	192,000	190,065	99%
A-1112	Interim Staff	164,025	164,006	100%	164,025	108,774	66%
A-1116	Seconded national experts	180,000	173,175	96%	180,000	173,175	96%
A-1130	Insurance against sickness	130,000	126,032	97%	130,000	126,032	97%
A-1131	Insurance against accidents and occupational disease	30,500	19,012	62%	30,500	18,662	61%
A-1132	Insurance against unemployment	50,000	44,117	88%	50,000	44,117	88%
A-1141	Annual Travel expenses	175,000	168,558	96%	175,000	168,558	96%
A-1200	Candidates recruitment and other related costs	34,400	29,000	84%	34,400	16,564	48%
A-1210	Travel expenses on entering/leaving and transfer	4,500	2,100	47%	4,500	2,100	47%
A-1220	Installation, resettlement and transfer allowances	41,500	37,363	90%	41,500	37,363	90%
A-1230	Removal expenses	28,075	5,046	18%	28,075	5,046	18%
A-1240	Daily subsistence allowances	22,000	17,352	79%	22,000	17,352	79%
A-1300	Administrative Missions	128,000	86,500	68%	128,000	83,419	65%
A-1410	Medical service	34,000	15,000	44%	34,000	9,849	29%
A-1420	Training of Staff	129,104	99,150	77%	129,104	70,128	54%
A-1430	Social Welfare of Staff	8,896	8,773	99%	8,896	3,794	43%
A-1700	Representation and events expenses	10,000	1,533	15%	10,000	1,375	14%
<b>TOTAL TILE I</b>		<b>6,184,408</b>	<b>5,858,478</b>	<b>95%</b>	<b>6,184,408</b>	<b>5,745,819</b>	<b>93%</b>

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
A-2000	Rent	58,800	58,800	100%	58,800	18,000	31%

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
A-2010	Utilities and Services	158,685	158,684	100%	158,685	129,882	82%
A-2050	Security and Surveillance	73,620	73,619	100%	73,620	62,134	84%
A-2051	Other Building Expenditure	41,220	41,220	100%	41,220	38,582	94%
A-2100	IT hardware and software	231,475	231,474	100%	231,475	128,678	56%
A-2101	IT External Services	178,621	175,271	98%	178,621	131,700	74%
A-2200	Technical and elect off eq	50,600	50,337	99%	50,600	26,406	52%
A-2210	Furniture and related equipment	32,310	32,309	100%	32,310	5,456	17%
A-2252	Subscriptions to newspapers and periodicals	8,558	8,557	100%	8,558		
A-2300	Stationery and office supplies	23,000	22,955	100%	23,000	18,036	78%
A-2330	Legal expenses	0	0	0%	0		
A-2350	Other current administrative expenditure	2,000	1,990	100%	2,000	1,910	96%
A-2400	Telecommunication and Postage charges	56,400	54,500	97%	56,400	42,697	76%
A-2411	Telecommunications equipment	917	917	100%	917	917	100%
A-2500	Administrative Board Meetings	61,500	61,500	100%	61,500	58,092	94%
A-2501	Advisory Board Meetings	3,000	2,897	97%	3,000	2,897	97%
A-2502	Other Meetings with Experts	25,426	25,426	100%	25,426	25,426	100%
A-2600	Translation and interpretation services	154,670	151,920	98%	154,670	80,642	52%
A-2620	External Services Commission	50,360	50,000	99%	50,360	38,197	76%
A-2630	External Services Other Bodies	52,630	52,630	100%	52,630	15,822	30%
A-2700	Communication expenses	56,159	53,221	95%	56,159	29,188	52%
<b>TOTAL TILE II</b>		<b>1,319,951</b>	<b>1,308,227</b>	<b>99%</b>	<b>1,319,951</b>	<b>854,660</b>	<b>65%</b>

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
B3-010	Data Monitoring and networks	605,700	601,443	99%	605,700	178,572	29%
B3-020	Capacity Building Training	116,601	99,625	85%	116,601	59,350	51%
B3-030	Pooled Capacities	56,300	56,237	100%	56,300	29,847	53%

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
B3-100	North Sea and adjacent areas, western waters	165,000	165,000	100%	165,000	106,633	65%
B3-110	Baltic Sea	133,000	133,000	100%	133,000	95,867	72%
B3-120	NAFO and NEAFC	192,000	192,000	100%	192,000	124,527	65%
B3-130	Mediterranean Sea	164,000	163,844	100%	164,000	109,754	67%
B3-140	IUU	158,940	148,512	93%	158,940	136,429	86%
B3-150	WESTERN WATERS	120,000	120,000	100%	120,000	65,386	54%
B3-210	A.M. NAFO and NEAFC	1,000			1,001,000	1,000,982	100%
<b>TOTAL TILE III</b>		<b>1,712,541</b>	<b>1,679,662</b>	<b>98%</b>	<b>2,712,541</b>	<b>1,907,347</b>	<b>70%</b>

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
<b>TOTAL BUDGET 2012 - C1</b>		<b>9,216,900</b>	<b>8,846,367</b>	<b>96%</b>	<b>10,216,900</b>	<b>8,507,827</b>	<b>83%</b>

### **BUDGET EXECUTION – FUND SOURCE C8**

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
A-1101	Family allowances	600	550	92 %	600	550	92%
A-1112	Interim Staff	7,653	7,617	100 %	7,653	7,617	100%
A-1131	Insurance against accidents and occupational disease	136	0	0 %	136		
A-1230	Removal expenses	6,457	6,457	100 %	6,457	6,457	100%
A-1300	Administrative Missions	15,666	15,658	100 %	15,666	15,658	100%
A-1410	Medical service	6,196	4,921	79 %	6,196	4,921	79%
A-1420	Training of Staff	42,812	42,542	99 %	42,812	42,542	99%
A-1430	Social Welfare of Staff	4,963	4,963	100 %	4,963	4,963	100%
A-1700	Representation and events expenses	48	41	85 %	48	41	85%
<b>TOTAL TILE I</b>		<b>84,530</b>	<b>82,747</b>	<b>98%</b>	<b>84,530</b>	<b>82,747</b>	<b>98%</b>

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
A-2000	Rent	58,800	58,800	100 %	58,800	58,800	100%
A-2010	Utilities and Services	77,920	77,551	100 %	77,920	77,551	100%
A-2050	Security and Surveillance	10,334	9,967	96 %	10,334	9,967	96%

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
A-2051	Other Building Expenditure	2,639	2,638	100 %	2,639	2,638	100%
A-2100	IT hardware and software	36,734	36,734	100 %	36,734	36,734	100%
A-2101	IT External Services	150,831	144,896	96 %	150,831	144,896	96%
A-2200	Technical and electrical equipment	965	965	100 %	965	965	100%
A-2210	Furniture and related equipment	967	967	100 %	967	967	100%
A-2252	Subscriptions to newspapers and periodicals	8,559	8,559	100 %	8,559	8,559	100%
A-2300	Stationery and office supplies	832	832	100 %	832	832	100%
A-2350	Other current administrative expenditure	20	13	65 %	20	13	65%
A-2400	Telecommunication and Postage charges	16,376	14,929	91 %	16,376	14,929	91%
A-2411	Telecommunications equipment	647	647	100 %	647	647	100%
A-2500	Administrative Board Meetings	5,460	3,870	71 %	5,460	3,870	71%
A-2501	Advisory Board Meetings	500	463	93 %	500	463	93%
A-2600	Translation and interpretation services	33,873	31,040	92 %	33,873	31,040	92%
A-2620	External Services Commission	15,809	14,232	90 %	15,809	14,232	90%
A-2630	External Services Other Bodies	22,496	22,496	100 %	22,496	22,496	100%
A-2670	Other External Services	42,500	42,500	100 %	42,500	42,500	100%
A-2700	Communication expenses	37,744	35,610	94 %	37,744	35,610	94%
<b>TOTAL TILE II</b>		<b>524,006</b>	<b>507,709</b>	<b>97%</b>	<b>524,006</b>	<b>507,709</b>	<b>97%</b>

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
B3-010	Data Monitoring and networks	215,228	211,037	98 %	215,228	211,037	98%
B3-020	Capacity Building Training	192,262	145,205	76 %	192,262	145,205	76%
B3-030	Pooled Capacities	7,553	2,674	35 %	7,553	2,674	35%
B3-100	North Sea and adjacent areas	32,009	23,158	72 %	32,009	23,158	72%
B3-110	Baltic Sea	45,891	39,598	86 %	45,891	39,598	86%
B3-120	NAFO and NEAFC	16,886	11,695	69 %	16,886	11,695	69%
B3-130	Mediterranean Sea	24,186	20,134	83 %	24,186	20,134	83%
B3-140	IUU	17,622	16,429	93 %	17,622	16,429	93%
B3-210	NAFO AND NEAFC	1,001,000	1,000,982	100 %	0		
<b>TOTAL TILE III</b>		<b>1,552,636</b>	<b>1,470,914</b>	<b>95%</b>	<b>551,636</b>	<b>469,932</b>	<b>85%</b>

Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
Budget Line Position	Budget Line	Commitment Appropriations ABAC	Committed (€)	Committed (%)	Payment Appropriations ABAC	Paid (€)	Paid (%)
<b>TOTAL BUDGET 2012 - C8</b>		<b>2,161,172</b>	<b>2,061,370</b>	<b>95%</b>	<b>1,160,172</b>	<b>1,060,388</b>	<b>91%</b>

**ANNEX V. Economic outturn account<sup>18</sup>**

1	2	3	4	5	6
Consolidation account		Annex n°	2012	2011	Variation
706199	Funds transferred from the Commission to other Institutions		0.00	0.00	0.00
740100	Contributions of EFTA countries belonging to the EEA		0.00	0.00	0.00
743000	Recovery of expenses		0.00	0.00	0.00
744000	Revenues from administrative operations		647.13	1,677.00	-1,029.87
745000	Other operating revenue		9,716,731.09	11,566,828.90	-1,850,097.81
777777	<b>TOTAL OPERATING REVENUE</b>	<b>E1</b>	<b>9,717,378.22</b>	<b>11,568,505.90</b>	<b>-1,851,127.68</b>
610000	Administrative expenses	<b>E2, E3</b>	-7,413,435.40	-7,732,302.04	318,866.64
6201,,	All Staff expenses		-5,578,737.24	-5,420,976.00	-157,761.24
630100	Fixed asset related expenses		-248,021.54	-170,790.01	-77,231.53
611000	Other administrative expenses		-1,586,676.62	-2,140,536.03	553,859.41
600000	Operational expenses	<b>E2</b>	-1,978,601.14	-3,772,950.09	1,794,348.95
606000	Other operational expenses		-1,978,601.14	-3,772,950.09	1,794,348.95
666666	<b>TOTAL OPERATING EXPENSES</b>		<b>-9,392,036.54</b>	<b>-11,505,252.13</b>	<b>2,113,215.59</b>
	<b>SURPLUS/(DEFICIT) FROM OPERATING ACTIVITIES</b>		<b>325,341.68</b>	<b>63,253.77</b>	<b>262,087.91</b>
750000	Financial revenues	<b>E4</b>	0.00	0.00	0.00
650000	Financial expenses	<b>E5</b>	-324.68	-3,090.97	2,766.29
680000	Movement in pensions (- expense, + revenue)			0.00	0.00
750530	Share of net surpluses or deficits of associates and joint ventures accounted for using the equity method				0.00
	<b>SURPLUS/ (DEFICIT) FROM NON OPERATING ACTIVITIES</b>		<b>-324.68</b>	<b>-3,090.97</b>	<b>2,766.29</b>
	<b>SURPLUS/(DEFICIT) FROM ORDINARY ACTIVITIES</b>		<b>325,017.00</b>	<b>60,162.80</b>	<b>264,854.20</b>
800008	Minority interest			0.00	0.00
790000	Extraordinary gains (+)			0.00	0.00
690000	Extraordinary losses (-)			0.00	0.00
	<b>SURPLUS/(DEFICIT) FROM EXTRAORDINARY ITEMS</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>ECONOMIC OUTTURN FOR THE YEAR</b>		<b>325,017.00</b>	<b>60,162.80</b>	<b>264,854.20</b>

<sup>18</sup> Provisional annual accounts.

ANNEX VI. Balance sheet<sup>19</sup>

## 1-EFCA-BALANCE SHEET - ASSETS

1	2	3	4	5	6
Consolidation account		Annexe n°	31.12.2012	31.12.2011	Variation
	<b>ASSETS</b>				
	<b>A. NON CURRENT ASSETS</b>				
210000	<b>Intangible assets</b>	<b>A1</b>	<b>271,380.58</b>	<b>84,342.00</b>	<b>187,038.58</b>
200000	<b>Property, plant and equipment</b>	<b>A2</b>	<b>382,530.64</b>	<b>372,265.00</b>	<b>10,265.14</b>
221000	Land and buildings		0.00	0.00	0.00
230000	Plant and equipment		12,645.00	15,879.00	-3,234.00
241000	Computer hardware		223,469.38	159,094.24	64,375.14
240000	Furniture and vehicles		101,551.26	118,375.26	-16,824.00
242000	Other fixtures and fittings		44,865.00	78,917.00	-34,052.00
250000	Assets under Finance lease	<b>A3</b>	0.00	0.00	0.00
244000	Property, plant and equipment under construction		0.00	0.00	0.00
280000	<b>Investments</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
284000	Guarantee Fund				0.00
282000	Investments in associates				0.00
283000	Interest in Joint ventures				0.00
281000	Other investments (AFS...)				0.00
290000	<b>Loans</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
291000	Loans granted from the budget	Ceca 3	0.00	0.00	0.00
294000	Loans granted from borrowed funds	Ceca 4	0.00	0.00	0.00
295000	Terms deposits over 12 months				0.00
299000	<b>Long-term pre-financing</b>	<b>A4</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Range	Long-term pre-financing		0.00	0.00	0.00
Range	<i>LT pre-financing with consolidated EU entities</i>	<b>R</b>	0.00	0.00	0.00
292000	<b>Long-term receivables</b>	<b>A5</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Range	Long-term receivables		0.00	0.00	0.00
292009	<i>LT receivables with consolidated EU entities</i>	<b>R</b>	0.00	0.00	0.00
	<b>TOTAL NON CURRENT ASSETS</b>		<b>653,911.22</b>	<b>456,607.50</b>	<b>197,303.72</b>
	<b>B. CURRENT ASSETS</b>				
310000	<b>Inventories</b>	<b>A6</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
405000	<b>Short-term pre-financing</b>	<b>A7</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Range	Short-term pre-financing		0.00	0.00	0.00
Range	<i>ST pre-financing with consolidated EU entities</i>	<b>R</b>	0.00	0.00	0.00
400000	<b>Short-term receivables</b>		<b>62,213.74</b>	<b>98,918.56</b>	<b>-29,704.82</b>
401000	Current receivables	<b>A8, A9</b>	0.00	0.00	0.00
420300	Term Deposits between 3 months & 1 year				0.00
420900	LT receivables falling due within a year	Ceca 3, 4			0.00
410900	Sundry receivables	<b>A8</b>	16,418.36	23,401.44	-6,983.08
490000	Other		52,393.61	42,462.62	9,930.99
490010	Accrued income			0.00	0.00

<sup>19</sup> Provisional annual accounts.

490011		Deferred charges		52,393.61	42,462.62	9,930.99
490090		Accrued income with consolidated EU entities	N1	0.00	0.00	0.00
490091		Deferred charges with consolidated EU entities	N1	0.00	0.00	0.00
400009		Short-term receivables with consolidated EU entities	R	401.77	33,054.50	-32,652.73
501000	<b>Short-term Investments (AFS...)</b>					<b>0.00</b>
500000	<b>Cash and cash equivalents</b>		<b>A10</b>	<b>1,831,574.39</b>	<b>2,152,572.42</b>	<b>-320,998.03</b>
505300	Cash held at bank			1,831,574.39	1,452,572.42	379,001.97
505600	Cash in Transit			0.00	700,000.00	-700,000.00
<b>TOTAL CURRENT ASSETS</b>				<b>1,900,788.13</b>	<b>2,251,490.98</b>	<b>-350,702.85</b>
<b>TOTAL ASSETS</b>				<b>2,554,699.35</b>	<b>2,708,098.48</b>	<b>-153,399.13</b>

## 2- EFCA-BALANCE SHEET - LIABILITIES

1	2	3	4	5	6	
Consolidation account		Note	31.12.2012	31.12.2011	Variation	
	<b>LIABILITIES</b>					
	<b>A. NET ASSETS</b>		<b>4</b>	<b>1,307,197.97</b>	<b>982,180.97</b>	<b>325,017.00</b>
100000	<b>Reserves</b>			<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
140000	<b>Accumulated surplus/déficit</b>			<b>982,180.97</b>	<b>922,018.17</b>	<b>60,162.80</b>
141000	<b>Economic outturn for the year - profit+/loss-</b>			325,017.00	60,162.80	264,854.20
					0.00	
	<b>B. MINORITY INTEREST</b>			<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
					0.00	
	<b>C. NON CURRENT LIABILITIES</b>			<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
161000	<b>Employee benefits</b>		<b>L1</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
163000	<b>Provisions for risks and charges</b>		<b>L2</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
170000	<b>Financial liabilities</b>			<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
170200	Borrowings		Ceca 6	0.00	0.00	0.00
170300	Held-for-trading liabilities				0.00	0.00
172000	<b>Other long-term liabilities</b>		<b>L3</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
172100	Other long-term liabilities			0.00	0.00	0.00
172009	Other LT liabilities with consolidated EU entities		<b>R</b>		0.00	<b>0.00</b>
172019	Pre-financing received from consolidated EU entities			0.00	0.00	0.00
172029	Other LT liabilities from consolidated EU entities			0.00	0.00	0.00
	<b>TOTAL A+B+C</b>			<b>1,307,197.97</b>	<b>982,180.97</b>	<b>325,017.00</b>
	<b>D. CURRENT LIABILITIES</b>			<b>1,247,501.38</b>	<b>1,725,917.51</b>	<b>-478,416.13</b>
483000	<b>Provisions for risks and charges</b>		<b>L4</b>	<b>163,146.21</b>	<b>42,703.77</b>	<b>120,442.44</b>
430000	<b>Financial liabilities</b>			<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
431000	Borrowings falling due within the year		Ceca 6	0.00	0.00	0.00
432000	Held-for-trading liabilities due within the year			0.00	0.00	0.00
433000	Other current financial liabilities					0.00
440000	<b>Accounts payable</b>			<b>1,084,355.17</b>	<b>1,683,213.74</b>	<b>-598,858.57</b>

441000	Current payables	L5	4,303.23	718,025.66	- 713,722.43
442000	Long-term liabilities falling due within the year	L6	0.00	0.00	0.00
443000	Sundry payables	L5	18,749.08	50,593.76	-31,844.68
491000	Other		538,214.83	566,304.93	-28,090.10
491010	Accrued charges	L7	432,070.35	536,877.37	-104,807.02
491011	Deferred income	L7	0.00	0.00	0.00
491090	<i>Accrued charges with consolidated EU entities</i>	N1	106,144.48	29,427.56	76,716.92
491091	<i>Deferred income with consolidated EU entities</i>	N1	0.00	0.00	0.00
440009	<i>Accounts payable with consolidated EU entities</i>	R	523,088.03	348,289.39	174,798.64
440019	<i>Pre-financing received from consolidated EU entities</i>		500,250.47	283,647.13	216,603.34
440029	<i>Other accounts payable against consolidated EU entities</i>		22,837.56	64,642.26	-41,804.70
	<b>TOTAL D. CURRENT LIABILITIES</b>		<b>1,247,501.38</b>	<b>1,725,917.51</b>	<b>-478,416.13</b>
	<b>TOTAL LIABILITIES</b>		<b>2,554,699.35</b>	<b>2,708,098.48</b>	<b>-153,399.13</b>

## ANNEX VII. Procurement 2012

Contracts signed in 2012 (figures only)

Framework Contracts awarded	6 <sup>20</sup>
Of which from an Open Call for Tenders	2
Contracts implementing Framework Contract	178
Of which Order Forms	155
Of which Specific Contracts	23
Direct Contracts	27
Of which Purchase Orders	17
Of which Contracts	10
<b>TOTAL Legal commitments awarded</b>	<b>211</b>

List of Open procedures (above 60.000 €)

Reference	Volume (as per Contract Notice)	Title
CFCA/2011/A/10	300,000	Office Stationery and Materials
EFCA/2012/A/03	550,000	Provision of Interim Services
EFCA/2012/B/02	800,000	Provision of IT Support Services
EFCA/2012/A/04	300,000	Supply of electricity - unsuccessful <sup>21</sup>

List of Negotiated procedures (between 5.000 € and 60.000 €)

Reference	Volume	Title
EFCA/2012/A/02	47,000	Partitioning and Related works for EFCA
EFCA/2012/C/01	32,900	Cost Assessment Methodology for Joint Deployment Plans
EFCA/2012/A/05	7,973.28	Assessment and Reporting relating to Electricity Installation of EFCA
EFCA/2012/B/01	10,000	Provision of IT Consultancy Services (additional services)
EFCA/2012/A/01	30,000	Express Courier - unsuccessful <sup>22</sup>

List of Negotiated procedures without publication of a contract notice

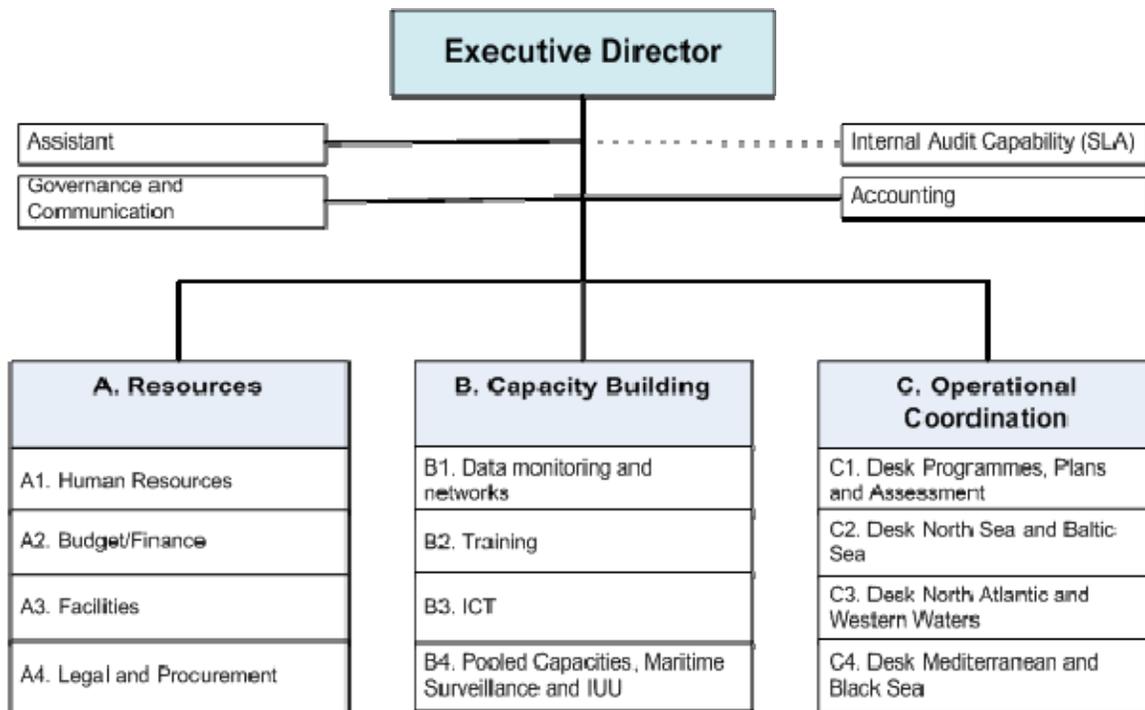
Reference	Volume	Title	IR
EFCA/SER/2012/01	N.A	Postal service	Art.126.1.b
EFCA/DC/2012/07	N.A	Water	Art.126.1.b

<sup>20</sup> Of which 3 as a result of an European Commission inter-institutional call for tenders organised by EPSO

<sup>21</sup> A new procedure will be organised in 2013.

<sup>22</sup> A new procedure will be organised in 2013.

## ANNEX VIII. Organisation Chart



## **ANNEX IX. Declaration of the Executive Director**

Vigo, 5 March 2013

### **Declaration of the Executive Director**

I, the undersigned, Pascal Savouret, Executive Director of the European Fisheries Control Agency,

In my capacity as Authorising Officer,

Declare that the information contained in this report gives a true and fair view,

State that I have reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions,

This reasonable assurance is based on my own judgment and on the information at my disposal, such as the results of the ex-ante controls, the ex-post controls, the recommendations from the European Parliament's Committee for Budgets and the lessons learned from the reports of the Court of Auditors for the year prior to the year of this declaration,

Confirm that I am not aware of anything not reported here which could harm the interests of the Agency and the institutions in general.

Signed by Pascal SAVOURET

## **ANNEX X. Recommendations by the Administrative Board to the Commission issued following the external independent evaluation of the European Fisheries Control Agency**

### **Recommendations by the Administrative Board to the Commission issued following the external independent evaluation of the European Fisheries Control Agency**

#### **Introductory remarks**

According to Article 39 of Regulation (EC) No 768/2005, as amended by Regulation (EC) No 1224/2009, the Administrative Board of EFCA commissioned an independent external evaluation of the implementation of the Regulation. Following a competitive tender, the study was carried out by a consultant following the terms of reference agreed on by the Administrative Board.

The Administrative Board received the final report of the five years external independent evaluation on 2 March 2012.

In order to maintain an open discussion to debate and analyse the work that has been done since the setting up of the Agency and the way forward, the EFCA organised a Seminar on the Five Years Independent External Evaluation on 14 March 2012, with the participation of representatives of the Administrative Board of EFCA, the European Parliament and other concerned stakeholders. The Consultants presented their report to the Seminar.

The Administrative Board welcomes the Consultant's conclusions that "On the whole, governance arrangements have worked well. Considering the Agency's limited resources, its operation in the politically sensitive environment of fisheries policy, and current Member State budget constraints, performance against the evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability can be considered promising".

On the basis of the consultant's report and discussions thereon at the Seminar that took place on 14 March 2012, the Administrative Board presents below its recommendations to the European Commission.

A follow up on the implementation of the recommendations will be provided in the EFCA annual report.

## **1. Recommendations regarding changes to the Agency regulation 768/2005 as amended**

### **1.1 On objectives and responsibilities**

- 1.1.1 It is too premature to propose an amendment of Agency regulation. Nevertheless a guidance document with clear description of responsibilities delimitation between EFCA, EC, and MS is recommended.
- 1.1.2 Level playing field and coordination and assistance for better compliance are considered as wider objectives of the Agency.

## **2. Recommendations related to the Agency and its working practices**

### **2.1 On governance**

- 2.1.1 Administrative Board to focus on strategic issues, leaving routine matters to be decided by written procedure.
- 2.1.2 Administrative Board participation is a Member State prerogative.
- 2.1.3 The Board should reflect on the participation of other parties in the Administrative Board.

### **2.2 On operational coordination**

- 2.2.1 General agreement with regard to the introduction of multi-species and continuous regional JDP with a solid legal basis and prioritisation.
- 2.2.2 It was recognised to take action on improving estimates of Bluefin tuna biomass during transfer to cages.
- 2.2.3 To examine periodically at which level EFCA involvement in the JDPs provides the best added value, in accordance with the existing legal basis.

### **2.3 On training**

- 2.3.1 Establish a clear overarching road map for training, in particular the remaining areas of the Core Curricula, including the training of trainers.
- 2.3.2 Review of working methods to accelerate the development of the Core Curricula.
- 2.3.3 Ensure maintenance of Core Curricula.
- 2.3.4 Establishment of regional training for national inspectors, as well as Union inspectors.

#### **2.4 On dissemination of good practices**

- 2.4.1 Show-case EFCA best practice on inter-agency and national agencies cooperation, and share EFCA experience on performance indicators for measuring administrative efficiency and effectiveness.
- 2.4.2 Take stock of exchanged best practices and dissemination via the EFCA website.

#### **2.5 On assessment**

- 2.5.1 Implement the recently prepared method for assessing the performance of the JDPs after discussion at regional level.
- 2.5.2 Development of indicators for measuring the effectiveness of capacity building.
- 2.5.3 Develop a method for assessing cost effectiveness for Member States.
- 2.5.4 Annual stock-taking of scientific evidence on developments with the fish stocks that the EFCA is focusing on. Consider scientific bodies request for access to data for scientific purposes.
- 2.5.5 EFCA and the EC to study ways of exchanging data on compliance with the Common Fisheries Policy requirements, in accordance with data ownership requirements of Member States.

#### **2.6 On cooperation and communication**

- 2.6.1 EFCA to develop an information portal for fisheries control.
- 2.6.2 Encourage the Agency to continue synergies between different meetings and use of telephone and video conferencing.
- 2.6.3 Enhancing regular, systematic, and effective communication with other stakeholders, particularly Member States, regarding the development of Agency activities.

## ANNEX XI. List of acronyms and abbreviations

AIS	Automatic Identification Systems
ABB	Activity Based Budgeting
ABMS	Activity Based Management System
AWP	Annual Work Programme
BFT	Bluefin Tuna
BCD	Bluefin Tuna Catch Document
CA	Conventional Area
CC	Core Curriculum
CCIC	Coordination Centre in Charge
CCDP	<i>Core Curriculum</i> Development platform
CFP	Common Fisheries Policy
CPC	Contracting Party, Cooperating non-Contracting Party, Entity or Fishing Entity
EAV	European Added Value
EC	European Commission
ECA	European Court of Auditors
EFCA	European Fisheries Control Agency
EP	European Parliament
EU	European Union
IAS	Internal Audit Service
ICCAT	International Commission for the Conservation of the Atlantic Tuna
ICES	International Council for the Exploration of the Sea
ICT (also IT)	Information and Communication Technologies
IUU	Illegal, Unreported and Unregulated fishing
JDP	Joint Deployment Plan
JISS	Joint Inspection and Surveillance Scheme
KPIs	Key Performance Indicators

MWP	Multiannual Work Programme
MS	Member States
MCS	Monitoring, Control and Surveillance
MSY	Maximum Sustainable Yield
NAFO	Northwest Atlantic Fisheries Organisation
NAFO CEM	NAFO Control and Enforcement Measures
NEAFC	Northeast Atlantic Fisheries Commission
NGO	Non Governmental Organisation
NWWRAC	North Western Waters Regional Advisory Council
RA	Regulatory Area
RAC	Regional Advisory Council
RFMO	Regional Fisheries Management Organisation
SG	Steering Group
SCRS	Standing Committee on Research and Statistics
SGTEE	Steering Group on training and exchange of practice
SWWRAC	South Western Waters regional Advisory Council
TJDG	Technical Joint Deployment Group
WGTEE	Working Group on training and exchange of practice
VMS	Vessel Monitoring System

## ANNEX XII. IT projects definitions

**Core Curricula Development Platform (CCDP).** This online application supports the collaboration of experts, Member States (MS), the Commission and EFCA for the development of Core Curricula (CC) training materials. Authorised users are able to exchange, to track comments of the different versions of the documents, and to manage meetings, discussion groups, calendar, news, or announcements.

**EFCA Corporate systems:** include EFCA website, intranet, extranet (eg Administrative Board Site) and any application developed internally in support to internal EFCA activities.

**EFCA Electronic Reporting System (ERS).** This system will allow EFCA to receive and parse ERS messages, exchange them with the stakeholders involved in JDP operations (CCIC), ensure data quality, integrity and reliability through validation operations, and to provide the user with a set of tools, accessible through a web user interface, to view, search, analyze and produce statistics and reports based on specific criteria.

**EFCA Electronic Inspection Report (EIR).** This system will allow EFCA to receive and parse EIR messages, exchange them with the stakeholders involved in JDP operations (CCIC), ensure data quality, integrity and reliability through validation operations, and to provide the user with a set of tools, accessible through a web user interface, to view, search, analyze and produce statistics and reports based on specific criteria.

**EFCA E-Learning:** After their approval by MS the Core Curricula training modules will be published and made available on this distance learning platform.

**EFCA Vessel Monitoring System (VMS).** This system allows EFCA to receive and to exchange VMS data (identity, position and speed of fishing vessels larger than 12 m) to support JDP operations, hence providing a global EU picture within the geographical areas covered by the relevant SCIPs.

**FISHNET** is a single sign on secured portal to allow access of most of EFCA applications (ERS, VMS, EIR, DMS, CCDP, E-training, JADE) and to provide EFCA stakeholders with collaboration tools (e.g. sharing data and documents, exchange information, teleconferencing). This system is

designed to support decision making, planning, operational coordination, and assessment of joint control operations, and to promote remote collaboration in support to EFCA activities.

**JADE** is a web application internally used by the EFCA coordinators to record, manage and report activity on JDPs. JADE stands for Joint deployment plan Activity Database.

**Maritime Surveillance Information Systems:** Information systems developed in cooperation with external stakeholders to integrate available information sources and data sets within the framework of Integrated Maritime Policy, interagency cooperation and the CISE (Common Information Sharing Environment).